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New York State Department of Health
Center for Community Health
Division of Family Health
Bureau of Maternal and Child Health
Adolescent Health Unit

Request for Applications
Successfully Transitioning Youth to Adolescence Initiative
www.health.ny.gov/funding

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Successfully Transitioning Youth to Adolescence Initiative

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I. Introduction

A. Program Description

This Request for Applications (RFA) represents the continued commitment of the New York State Department of Health (NYSDOH) to support comprehensive programming that fosters the prevention of adolescent pregnancy and childbearing.

The **Successfully Transitioning Youth to Adolescence (STYA**) **Initiative,** with total annual funding of approximately $2.55 million, will introduce a new program model that incorporates mentoring, counseling and supervised activities provided by adults for preteen youth ages 9 to 12, including those in foster care, to ease their transition into young adulthood.

The STYA initiative is funded by federal Title V State Abstinence Education Grant Program (AEGP) funds awarded to New York State by the Department of Health and Human Services Administration on Children, Youth, and Families (ACYF). Section 510(b) of the Social Security Act (42 U.S.C. Section 710(b)) specifies that the goal of the federal AEGP is to "promote abstinence from sexual activity, with a focus on those groups which are most likely to bear children out-of-wedlock." In turn, Federal Funding Opportunity guidance for the AEGP indicates that funded states are responsible to develop flexible, medically accurate and effective abstinence-based plans responsive to their specific needs. States applying for AEGP funds were provided the flexibility to develop state plans that utilize abstinence education and/or mentoring, counseling, and adult supervision programs to promote abstinence from sexual activity.

In developing its state AEGP plan, New York has chosen to focus on mentoring, counseling and adult supervision programs as an innovative strategy to promote abstinence from sexual activity and support a healthy transition to adolescence among preteen youth. New York's STYA initiative does **not** utilize direct abstinence education strategies. STYA projects need to be consistent with federal AEGP requirements. Programming and materials to be used by proposed projects may not contradict the Social Security Act Section 510(b)(2) (A-H) definition of abstinence education (see Attachment 1, page 2). In addition, all information and materials used by grantees must be medically accurate. Medical accuracy means that medical information must be verified or supported by the weight of research conducted in compliance with accepted scientific methods and published in peer-reviewed journals, where applicable, or be comprised of information that leading professional organizations and agencies with relevant expertise in the field recognize as accurate, objective and complete. All applicants need to attest to this by signing the required Statement of Assurances (Attachment 1, page 1), if awarded funding through this procurement.

To ensure that grant resources are used most effectively to address the needs of young people residing in high-risk communities, the NYSDOH will prioritize program funding to the New York State (NYS) counties which experience the highest number of births to adolescents under age 20 (see Attachment 2). Targeted counties include Albany, Bronx, Erie, Kings, Monroe, Nassau, New York, Niagara, Oneida, Onondaga, Orange, Queens, Richmond, Suffolk, and Westchester. Programs in other counties will be considered for funding if funds remain after

viable projects targeting these counties have been awarded.
New York State's complete AEGP Plan is available on the NYSDOH web site at:
http://www.health.ny.gov/community/youth/abstinence/docs/title_v_state_abstinence_education_grant_program.pdf

B. Background

NYSDOH programs that promote the prevention of adolescent pregnancy and childbirth are informed by input from key stakeholders, including the target audience and state and national experts. In 2008, 27 youth focus groups were convened by the NYSDOH-funded ACT for Youth Center of Excellence (COE) to learn more about how young people across NYS acquire information about sexual health and access services and treatment. These focus groups also provided forums for young people to share their ideas on how to improve adolescent sexual healthcare to inform and guide future NYSDOH initiatives. Focus group participants included youth in foster care, youth who identified as having a disability, lesbian, gay, bisexual, transgender and questioning youth (LGBTQ) and those from rural, suburban and urban areas across NYS.

The following specific recommendations made by young people during the focus groups were used to inform the development of both the NYS Abstinence Education Grant Program State Plan in response to the Title V AEGP and this RFA:

- work with young people at earlier ages, before high school;
- discuss alternatives to sex;
- make resources more visible in the community;
- help parents talk to their preteen youth; and
- educate caring adults such as mentors, relatives, and other adults in the community to provide sexual health information and support to young people.

In February 2009, a symposium, also facilitated by the COE, was convened to inform the NYSDOH on the latest research and best practices regarding adolescent sexual health. The symposium included a panel of national experts on adolescent sexual health and key stakeholders (including youth) from around NYS. After a review of national and NYS data and trends, and presentations and discussions of effective and promising practices, the symposium participants formulated recommendations for future programming and policies to improve adolescent sexual health outcomes, which NYS continues to incorporate into adolescent health programs. The report from the symposium is available on the COE website (http://www.actforyouth.net/).

Adolescent Pregnancy and Sexual Activity

Adolescent pregnancy is a significant public health problem facing New York State (NYS) today. In 2010, over 33,000 NYS adolescents age 15 to 19 years became pregnant, a rate of 50.2 per 1000, 15 to 19-year-old females (Attachment 3). As shown in Attachment 2, in 2010 in NYS there were 185 births to adolescent females under 15 years of age and 4,330 births to those ages 15 to 17, representing rates of 0.3 per 1000 and 11.2 per 1000 respectively. There are striking regional and racial and ethnic disparities in adolescent pregnancy and birth rates.

Pregnancy rates are consistently almost three times higher for Black and Hispanic teens than for White teens, making these among the most disparate health outcomes that NYSDOH monitors (Attachment 4). There are also significant regional differences, with persistently higher pregnancy and birth rates in New York City and in specific upstate communities. Demographic data for 2009 from the NYC Department of Health and Mental Hygiene indicate that pregnant and childbearing NYC adolescents lived in neighborhoods with the highest poverty rates and were primarily born in the United States.

Pregnancy at too early an age interrupts and disrupts normal adolescent development and often results in significant academic, social and economic costs for the mother, father and child. Adolescent mothers are more likely to drop out of school, remain unmarried and live in poverty. Adolescent fathers are more likely to have lower economic stability, income, educational attainment, and more turbulent relationships. Furthermore, children born to single adolescent mothers are more likely to not perform as well in school; have more emotional and behavioral problems; have worse physical health; use drugs, tobacco, and alcohol and enter the juvenile justice system. The lost social, educational and vocational opportunities and perpetual poverty for the teen mother or teen father becomes intergenerational and shapes personal development, relationships, career, and educational prospects.

Negative sexual health outcomes have long-lasting impacts on teens, families, communities and on society as a whole. In addition to social costs associated with teen childbearing, there are significant economic costs. According to a study conducted by the National Campaign to Prevent Teen and Unintended Pregnancy, NYS spent $663 million in 2008 on related costs for children born to teenage mothers. These costs include health care, child welfare, incarceration and lost tax revenue due to decreased earning and spending.

In NYS, sexually transmitted disease (STD) rates remain highest in the 15 to 24 year-old population, with an estimated prevalence of one of every two sexually active persons having a STD by age 25. The rate of Chlamydia and Gonorrhea per 100,000 young people ages 10 to 14 was 115.2 and 18.9 respectively (2010 data). Among 15 to 19 year old adolescents, the Chlamydia and Gonorrhea rates were 2410.9 and 348.8 respectively per 100,000 young people. The dramatic rise of STD rates from the younger to older adolescents is particularly striking, highlighting the need to address the consequences of sexual activity at an early age. Data from the Centers for Disease Control and Prevention in 2008 indicate persistent racial disparities in STD rates, with African-Americans bearing an especially heavy burden. The US Department of Health and Human Services acknowledges that little data is available on the prevalence of STDs among persons living with disabilities but proposes that the rate of infection could be as high as that of the general population.

The 2009 NYS Youth Risk Behavior Survey (YRBS) indicates that 6.2% of NYS high school students had sexual intercourse for the first time before age 13 (8.8% of males and 3.3% of females). The results of the 2007 YRBS for NYC high students also highlight the fact that young teens are sexually active. A total of 17.1% of NYC public high school students reported having had intercourse at age 13 or earlier (25.9% males and 9.1% females). While it is true that young people age 13 and younger are having sex, it is also true that the vast majority of preteen youth are not. However, YRBS results demonstrate that as young people reach the ages of 14 and 15, sexual activity increases significantly. For example, 5.4% of high school students indicated that they were 13 years of age when they had sexual intercourse for the first time. The percent who reported having their first sexual intercourse at age 14 or 15 increased to 9.0% and 9.9%, respectively. This increase in sexual activity from ages 13 to 14 illustrates the critical need to reach preteen youth before they initiate sexual activity.

Youth in Foster Care

As of 12/31/2010, there were 23,221 children and adolescents in foster care in NYS. Slightly more than half of the youth lived in homes with foster families and 25% lived with approved family relatives. The remaining youth resided in congregate care settings including institutions, group residences and homes, and agency-operated boarding homes and in supervised independent living. Sixty-two percent (62%) of NYS youth in foster care were 13 years of age or younger while 14% were between the ages of 10 to 13 years. Attachment 5 depicts the number of youth ages 10 to 13 in foster care as of 12/31/10 in each of the counties targeted by this RFA.

Youth in foster care have unique needs. Due to the incidence of early physical and/or sexual abuse, these youth are at an increased risk of early sexual activity and behavioral concerns, including younger age at first conception, increased number of sexual partners and contraceptive use less likely at first sexual experience.

The Schuyler Center for Analysis and Advocacy, a not-for-profit organization located in Albany, New York, issued a report in 2009 entitled *Risking Their Future: Understanding the Health Behaviors of Foster Care Youth.* The report documents the fact that youth in foster care have significantly higher rates of sexual activity and pregnancy than their peers in the general population. The report also states that youth in foster care, who are estranged from their parents because of, abuse, neglect or other trauma, do not have the emotional support and guidance that their peers with intact families enjoy. The factors provided by strong family relationships, which can protect young people from engaging in risky sexual behaviors, are often missing for youth in foster care. To mitigate this loss of protective factors, the report offers several recommendations including: training adults who work with foster care youth on the risk taking behavior found among youth in foster care; and creating programs that provide mentoring experiences for foster care youth so they can experience positive role models. The report can be found at: http://www.scaany.org/resources/documents/risking_their_future_report_000.pdf. The NYS Office of Children and Family Services web site includes a listing of the 58 social service districts in NYS, which can provide information about local foster care services: http://www.ocfs.state.ny.us/main/localdss.asp

Youth with Disabilities

According to NYS data from the 2008 American Community Survey, 4.7% of children ages 5 to 15 and 5.2% of adolescents/young adults aged 16 – 20 report having a disability. Persons with disabilities are commonly viewed as asexual, unable to engage in sexual activity or lacking sexual desire. Consequently, the interactions and learning experiences that promote healthy sexual identity and practices are often limited or non-existent for individuals with disabilities. These views, interactions and experiences extend to adolescents with disabilities.

Additionally, youth with disabilities face a host of social and familial situations that may put them in precarious situations related to sexual activity, including but not limited to overprotective parents or guardians, abusive caretakers, and lack of control that increases risk of rape and/or sexual abuse. According to the United Nations Secretary General's *Report on Violence against Disabled Children* issued by UNICEF in 2005, the rate of violence against children with disabilities occurs at annual rates at least 1.7 times greater than against their peers without disabilities. This violence may take the form of physical violence, or sexual, emotional or verbal abuse in the home, the community or institutional settings or in the workplace.

Physical and sexual maturation of adolescents with disabilities usually parallels that of their peers without disabilities; therefore, it is critical that they have access to the same information, counseling and activities to support healthy sexual identity and responsible sexual behavior. An analysis of the National Longitudinal Study of Adolescent Health conducted by Cheng and Udry (2002) demonstrated that, on average, 43.2% of students with disabilities in grades 7 through 12 were sexually active. While their maturation usually parallels that of their peers, adolescents with disabilities may face delayed emotional and cognitive development, creating the need for targeted supports and approaches to enable achievement of critical developmental tasks related to sexuality. However, peer, provider, and societal attitudes have lagged in the recognition and support of these individuals.

B. Purpose

The NYSDOH is issuing this RFA to announce the availability of approximately $2.55 million to implement the Successfully Transitioning Youth to Adolescence (STYA) initiative. Funds will be awarded to up to fifteen community-based projects in the NYS communities, which bear the greatest burden of adolescent childbearing. NYSDOH will fund community-based projects that utilize a primary prevention approach of mentoring, counseling or adult-supervised activities designed for preteen youth, providing adult-led group sessions to encourage discussion of topics of concern to preteen youth, and providing parenting education to parents, guardians and caregivers.

The purpose of the initiative is to develop, enhance or expand prevention programs aimed at delaying the onset of adolescent sexual activity and decreasing the incidence of adolescent pregnancy and childbearing. This initiative strives to implement strategies to build protective factors to promote the optimal transition of youth ages 9-12 living in high-risk communities, including youth in foster care, from middle childhood to adolescence fostering a transition to a healthy, productive, connected young adulthood. A key factor in promoting this transition is improving a preteen youth's sense that he/she has achievable life prospects and a positive outlook for the future, factors that are contingent upon delaying sexual activity.

The specific goals of the STYA initiative and local STYA projects are to:

- Decrease the initiation of sexual activity among preteen youth through the support of

community-based projects that incorporate mentoring, counseling or adult-supervised activities provided by adults for preteen youth ages 9 to 12 who reside in high-risk communities in NYS;
- Create and expand opportunities and provide support and alternatives to sexual activity for preteen youth in order to promote an optimal transition into healthy young adulthood;
- Promote the development of positive long-term relationships between adults and youth; and
- Provide education to the parents, guardians and caregivers of preteen youth to enhance their parenting skills.

Providing opportunities for young people to increase the number of developmental assets they have is the primary organizing concept of this initiative. The Search Institute has identified 40 developmental assets that are the building blocks of healthy development for youth in "middle childhood" (ages 8 to 12) and will help them grow into healthy, caring and responsible young adults. Examples of the 40 developmental assets for youth ages 8 to 12 include: adult role models, other adult relationships, service to others, child programs, family support, positive family communication, a sense of purpose, healthy lifestyle, planning and decision making, resistance skills, and a positive view of one's personal future. See Attachment 6 or http://www.search-institute.org/system/files/40Assets_MC_0.pdf for the complete list of developmental assets identified for this age range by the Search Institute.

Research conducted by the Search Institute has documented the significance of developmental assets in protecting youth from many different harmful or unhealthy choices (e.g., sexual activity, problem alcohol use, violence, illicit drug use, tobacco use, etc.). The Search Institute's developmental asset framework includes 20 external assets organized under the following four categories: support, empowerment, boundaries and expectations, and constructive use of time; and 20 internal assets organized under these four categories: commitment to learning, positive values, social competencies, and positive identity.

The developmental assets serve as protective factors to help young people avoid negative risky behaviors. The positive effects of these protective factors increase as the number of assets a young person has increases. In its well-known 2003 survey of almost 150,000 6th to 12th grade youth in 202 communities throughout the United States, the Search Institute found that older youth have lower average levels of assets than young youth. The largest decline in the average number of assets are in the 6th to 8th grade age groups, highlighting the distinct vulnerability of preteen youth and the need to specifically target and serve this population. Additionally, the 2003 Search Survey documented that youth with the most assets are the least likely to engage in patterns of high-risk behavior. The Search Survey found that 34% of youth with 0 to 10 assets were sexually active compared to 3% of youth with 31 to 40 assets.

Enhancing the developmental assets of youth ages 9 to 12 provides an opportunity for them to transition into sexually healthy adolescents who are able to realize their individual potential around critical developmental tasks related to sexuality. These tasks include: accepting his/her body, gender identity and sexual orientation; communicating effectively with family, peers and partners; possessing medically accurate knowledge of human anatomy and physiology;

understanding the risks, responsibilities and potential outcomes of sexual activity and the benefits and acceptability of choosing not to be sexually active; possessing the medically accurate knowledge, skills and self-efficacy needed to take action to reduce his/her risk and abstain from sexual activity; setting appropriate sexual boundaries; acting responsibly according to his/her personal values; and forming and maintaining meaningful, healthy relationships.

This RFA will provide funding for mentoring, counseling or supervised activities provided by adults for preteen youth ages 9 to 12; provision of adult-led group sessions to encourage discussion of topics of concern to preteen youth; and parenting education to parents, guardians and caregivers.

These strategies will enable youth to acquire and strengthen developmental assets within a youth development framework and ease their transition into adolescence/young adulthood. Attachment 7 identifies the philosophy and principles of the youth development framework. Research on positive youth development has clearly demonstrated that positive connections to adults are highly protective and have powerful impacts on adolescent well being (Barber, Stolz, & Olsen, 2005; Garmezy, 1985; Hawkins & Weis, 1985; Masten, Best, & Garmezy, 1990; Werner & Smith, 1992).

These findings indicate that even in the face of multiple life adversities, having a consistent, supportive, caring adult in their life outside of their immediate families, helps adolescents not merely survive, but thrive. This research has been especially influential in the development of mentoring programs such as Big Brothers/Big Sisters (see Tierney et al, 1995) which draw upon the demonstrated power of a strong youth-adult connection, one that is dyadic in nature. The positive youth development framework broadens the notion of connectedness beyond individual adults to more of a community focus, that is to say, to groups of adults, adult institutions, policies and systems (Connel and Gambone, 1998; NRC, 2002; Whitlock, 2006).

C. Overview: Successfully Transitioning Youth to Adolescence Initiative

STYA community-based projects are a component of statewide primary prevention programs, which utilize a youth development framework and implements evidence-based or promising approaches to promote health and reduce risk in targeted high-need communities in NYS.

Applicants will deliver an integrated model of mentoring, counseling or adult-supervised activities and provide adult-led group sessions to encourage discussion of topics of concern to preteen youth in targeted communities through the strategies described in Section I. F. Work Scope. Project components will promote such developmental assets as positive family communication; adult role models; creative activities; motivation to do well in school; healthy lifestyle; planning and decision making; resistance skills; a positive view of one’s personal future; responsibility; self-esteem; and sense of purpose. Parents, guardians and caregivers of preteen youth will also have the opportunity to attend parenting education classes to enhance their parenting skills.

Services will be delivered to individuals or groups in such venues as schools, community and faith-based organizations, other community settings, and congregate care settings. All funded projects, including those implemented directly or in partnership with faith-based organizations or programs, must adhere to the federal guidance prohibiting use of religious materials/programs (Attachment 8).

Applicants will be expected to provide services to youth residing within the highest need areas, as identified by the Adolescent Sexual Health Needs Index (ASHNI). The ASHNI is an indicator, calculated at the ZIP code level, to provide a single, multidimensional measure related to adolescent pregnancy and STDs. The ASHNI takes into consideration a variety of key factors related to these outcomes, including the size of adolescent population, actual burden (number) of adolescent pregnancies and STD cases, and a number of specific demographic and community factors (education, economic, and race/ethnicity indicators) that are significantly associated with adverse sexual health outcomes (see Attachment 9 for selection of highest need ZIP codes for each county).

When developing a local STYA project, applicants are encouraged to work in collaboration and partnership with local youth, families, schools and other community stakeholders who are representative of the social, economic, functional ability, cultural and racial/ethnic composition of the community to identify community demographics, needs, and resources and ensure appropriateness of proposed services for targeted youth. Projects will also work with other service providers and individuals in their respective communities to identify and provide or expand a range of positive opportunities for the youth and their families.

More detailed information related to core project components and activities is included in Section I. F. Work Scope.

D. Who May Apply

Minimum Eligibility Requirements

Please note: Applications must meet all of the following minimum eligibility requirements in order to be reviewed:

- Applications will be accepted from state and local government entities such as city and county health departments, school districts, and youth bureaus; and from not-for-profit 501(c)(3) organizations, including, but not limited to, Article 28 healthcare facilities, and community-based health and human service agencies.
- Applicants will propose to serve youth within a single county. Within their identified target county, applicants need to define a more specific target area for their proposed project, as defined by highest-risk ZIP codes within that county based on the ASHNI. (See Attachment 9 for selection of highest need ZIP codes for the county selected). **Applications must focus their efforts in one county; proposals to serve multiple counties will not be accepted.**
- In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant **must** demonstrate the ability to fund at least 43% of the project's total cost

while the NYSDOH will fund no more than 57% of the project's total cost. For example, an applicant, which proposes a project with an overall budget of $200,000, would be eligible for a maximum of $114,000 in grant funds and must demonstrate a match of at least $86,000. The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. See Section II. A., 8. Budget and Staffing Plan, and Attachment 20 for additional information and guidance for meeting this match requirement.

Preferred Eligibility Requirements:

Preference will be given to applicants that demonstrate the following:

- Propose to serve one of the fifteen New York State (NYS) counties that experience the highest number of births to adolescents under age 20: Albany, Bronx, Erie, Kings, Monroe, Nassau, New York, Niagara, Oneida, Onondaga, Orange, Queens, Richmond, Suffolk, and Westchester. Programs in other counties will be considered for funding if funds remain after viable projects targeting these counties have been awarded. (See Attachment 2 for information on the number of adolescent births by county.)
- Agency and staff experience serving youth, including those in foster care: members of racial, ethnic, and/or cultural minority groups: and, individuals with disabilities.
- Board of Directors and staff, including senior management staff, who are representative of the racial, ethnic and/or cultural populations they plan to serve and intend to reach through the proposed project.
- Letters of commitment from all schools, service providers, institutions and community- or faith-based organizations, juvenile detention centers, residential care facilities or other venues where project services will take place.

Program Requirements

- The applicant organization/agency, if awarded a contract, will be responsible for employing a STYA project director/coordinator within the organization that will be accessible full-time to the NYSDOH (including by e-mail); perform the essential tasks required to administer the project; **be the lead in programmatic activities;** and, ultimately be responsible for the successful completion of the project/contract.

E. Work Scope

The STYA program focuses on combining adult mentoring, counseling and/or adult supervised activities, and adult-led group sessions to encourage discussion of topics of concern to preteen youth, develop and pursue new interests and create a plan for the future. Youth will have the opportunity to develop trusting relationships with caring adults; learn and practice life skills; and be exposed to new activities and discussion. In addition, parenting education will be offered to parents, guardians, and other caregivers of preteen youth to enhance their parenting skills.

Services funded under this RFA should be provided during those times when children are not engaged in school, including after school hours on weekdays, school vacation breaks, weekend hours and the summer vacation period. Services provided should be sustained efforts rather than one-time or sporadic contacts. Mentored relationships should be at least one year in duration. [1] Youth who participate in other project components should be exposed to at least 14 hours of programming.

Community-based STYA projects are expected to work with other service providers and individuals in their respective communities to identify and provide or expand a range of positive opportunities for youth and their families. Since youth reached through this initiative may require additional supports and services that are outside the scope of the STYA program, projects are expected to implement mechanisms to refer them to other federal, state, county, city, school district, and local community service providers for physical, social, emotional, educational, and developmental support and services as necessary. Funded programs need to have a mechanism in place to refer youth, including youth who may be sexually active, to necessary health care services. It is anticipated that this process will foster a network of community service resources, which will facilitate referrals to, and utilization of, needed community services by young people and their families. Successful applicants will incorporate the input of a diverse group of stakeholders, including the young people they intend to serve, as well as parents, caregivers, and representatives from relevant community organizations and institutions in program planning, and implementation. This initiative will not fund direct services such as child care, health care, or other services that are available through other resources. However, applicants should incorporate partnerships and strategies to identify needs for such services and make referrals to address the needs that have been identified.

Proposed projects should include all three of the components described (within Component 1, applicants should select A and/or B), designed and implemented as part of a well-articulated, integrated overall program. Utilizing the framework of the three components, applicants are to design and implement effective projects based on the needs and resources of the target community and the developmental, socioeconomic, racial, ethnic, cultural needs and perspectives of the population(s) to be served. Applicants may propose to expand or enhance an established mentoring, counseling or adult supervision program that meets the requirements of this RFA, or may propose to establish a new program.

Proposed projects need to describe the outreach and recruitment of adult mentors and other adult volunteers working with youth. It is the responsibility of funded grantee organizations to assure that the safety of youth participating in programs is protected at all times. All mentors working with youth must undergo a comprehensive and rigorous screening process (see Attachment 10). Screening should include completion of an application, personal interview, personal and professional reference checks and criminal background checks. Other checks, such as child abuse and sexual offender registries and motor vehicle records should also be used (see Attachment 10, additional resources). Ongoing monitoring of the interaction between mentor and mentee is

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[1] Grossman, J.B. & Rhodes, J.E. (2002). The test of time: predictors and effects of duration in youth mentoring relationships. *American Journal of Community Psychology*, 30, 199-219.

recommended at least monthly and more often in the beginning of the mentor relationship.[2] The purpose of the supervision is to ensure that the match continues to make progress and to address any problems that may arise. Separate conversations should also be done with the mentor, mentee and the mentee's caregiver to assess any problems and assure continued mentee safety.

Adult volunteers working with youth should complete an application, have a personal interview, and provide personal and professional reference checks. Criminal background checks should be done if adult volunteers will have any responsibilities that involve a one-to-one relationship with youth and ongoing supervision, as described above.

<u>Component 1</u>: Provide individual, small group, and/or team mentoring, counseling <u>AND/OR</u> adult- supervised activities that create educational, recreational, or vocational opportunities for preteen youth.

A. Provide individual, small group, and/or team mentoring and counseling for preteen youth.

Mentoring is defined as "a structured and trusting relationship that brings young people together with caring individuals (adults) who offer guidance, support and encouragement aimed at developing the competence and character of the mentee."[3] For purposes of this RFA, mentors will provide information, guidance and social support to 9- to 12-year old youth on a wide range of topics framed in a youth development philosophy, focusing on the needs of the mentored youth(s), and building on and nurturing the youth's individual strengths and assets. Mentoring activities can take place in a variety of community settings including schools; school or agency-based after-school programs; community or faith-based organizations; juvenile detention centers; residential care settings; or at various community events or locations.

Several resources are provided as attachments to this RFA to assist applicants and funded grantees in designing and implementing effective mentoring projects (See Attachments 11-14). Applicants should select one or more of the mentoring models and approaches described in Attachment 11 and 12, and should incorporate the six evidence-based operational standards for effective mentoring practice described in detail in Attachment 13. Please see Attachment 14 for on-line resources on mentoring.

B. Provide or expand adult-supervised activities that create educational, recreational, or vocational opportunities for preteen youth.

Youth benefit from exposure to a wide variety of activities framed in a youth development philosophy that introduce them to new situations, ideas and people, and challenge them to build or learn skills. These opportunities can offer youth first-hand experiences that build on their strengths and assets and shape their ideas about and aspirations for the future. Activities should stimulate cognitive, social, physical, and/or emotional growth and provide a context for

[2] Guide to Screening and Background Checks, U.S. Department of Education Mentoring Program (http://educationnorthwest.org/webfm_send/182)
[3] National Mentoring Partnership (MENTOR@ www.mentor.org).

productive relationship building between adults and youth and among youth. The activities provide alternatives to and demonstrate the advantages of postponing sexual activity and promote the development of a skill set that can support a successful transition into healthy young adulthood. Adult-supervised activities can occur within another after school or youth group program or as a stand-alone program.

Examples of appropriate activities would include but may not be limited to:

- Workplace visits, job shadowing, or career exploration
- Cultural events and facilities (e.g., concerts, plays, museums, art exhibits)
  Sports and other physical activity (e.g., individual and team, competitive and non-competitive)
- Performing arts (e.g., live theatre and dance)
- Visual arts (e.g., carefully selected films which are appropriate for the age and developmental stage of the youth)
- Scientific exploration (e.g., robotics, computers, science centers, experiments, and field studies)
- Mentally stimulating games (i.e., games that challenge the mind and encourage deep interaction among participants, such as chess and selected computer games)
- Nature-focused outdoor activities (e.g., hiking, gardening, and bird-watching)
- Service learning activities (please see Attachment 14 for on-line resources on service learning.

All planned activities should be cost-effective and incorporate specific strategies that help build new skills and learning and stimulate youth development, consistent with the description above. Cost-effective is defined as the minimum amount of grant fund resources being used to achieve desired work plan goals and objectives. General recreational activities or one-time events without a clear rationale that is well-articulated as part of a larger program strategy will not be supported with this grant.

Component 2: **Provide adult-led group sessions designed to encourage in-depth discussion of topics of concern among preteen youth.**

Young people should be provided with opportunities to talk with caring adults about situations and experiences, choices, challenges and opportunities. This RFA will fund adult-led small group youth sessions with approximately six-eight youth designed to allow for in-depth discussion of topics of concern to preteen youth and create an opportunity for youth to go through a problem-solving process where they discuss decision making around these issues. These discussions also provide the opportunity for them to practice behaviors to resist pressures to initiate sexual activity and other risk-taking behaviors. This can serve as a model for how to approach and resolve future problems.

(*Note*: Discussion of topics of concern to the preteen youth is also an important component of mentor/mentee relationships. To satisfy the requirements of Component 2, applicants are expected to design a discussion component, which is separate and distinct from similar activities, which occur as part of the mentoring program described under Component 1.)

The range of topics that might be addressed in this component includes but may not be limited to:

- The development of healthy attitudes and values about adolescent growth and development, body image and positive self esteem, respect and appreciation for human diversity and other related subjects.
- Healthy relationships, such as friendships, kindness and positive support for peers (including anti-bullying bystander intervention), gender roles, dating, relationship dynamics and power balances, romantic involvement, marriage, and family interactions.
- Educational and career success, such as maximizing school success, exploring career alternatives and goals and developing skills for employment preparation.
- Development of good study habits and other practices focused on academic achievement.
- Healthy life skills such as health behaviors, goal setting, decision making, negotiation, communication and interpersonal skills and stress management.

Funding provided under this RFA cannot be used to provide professional mental health services including mental health counseling, psychoanalysis or treatment for severe mental illness, crisis intervention, or case management services. Youth requiring these services should be referred to appropriate professionals in the community. As part of their training and supervision, mentors and other adults working with youth through this program should be instructed on when and to whom to refer youth who need these services.

Attachment 15 includes internet resources that may be helpful in designing Components 1B and 2.

Component 3: Provide parenting education to the parents, guardians, and other adult caregivers of preteen youth.

Parents can play a key role in communicating to their children about values and responsible behaviors. The purpose of the parenting education component is to enhance and strengthen the communication and supervision skills of parents, guardians and other adult caregivers; these skills will help them guide their preteen youth through their adolescent years. Surveys and focus groups indicate that many adolescents view their parents as a primary source of information regarding sexual health behaviors, however many parents are uncomfortable having sexual discussions and have the same misconceptions or fears about sexuality as their children. Parents often need and welcome assistance to begin an effective dialogue related to sexual matters with their children.

Effective parent/child communication results in positive emotional development and self-esteem. Projects are required to incorporate education for parents, caregivers, and other adults in the community in order to provide improved knowledge and communication skills related to adolescent sexual health and risky behaviors.

According to the National Resource Center for Community-Based Child Abuse Prevention (http://friendsnrc.org), “successful parent education programs help parents acquire and internalize parenting and problem-solving skills necessary to build a healthy family." Projects funded through this RFA will provide information and education to parents at such venues as schools, the workplace and other community-based settings. Workshops can be conducted with parents alone or with parents together with children to improve communication skills. Attachment 16 contains a list of resources for use when developing effective parenting education programs for parents, caregivers and guardians of preteen youth. The range of topics to be addressed might include strategies for:

- Understanding pre-adolescent and adolescent development including the physical, cognitive, emotional, and social changes of adolescence, and nurturing children's development of healthy attitudes and values about growth and development, body image and positive self esteem, respect and appreciation for human diversity and other related subjects.
- Adapting to and communicating effectively with maturing children, discussing risk-taking behaviors with pre-adolescents and adolescents, identifying and addressing warning signs of risky or dangerous behavior, and keeping adolescents safe.
- Understanding the importance of non-parental adults in adolescents' lives.
- Raising adolescents in a new/changing and diverse culture.
- Modeling and nurturing healthy relationships, including friendships, social peer relationships, romantic relationships and family relationships, and positively addressing dynamics such as gender roles, peer pressure, bullying and power balances in relationships.
- Educational and career success, such as maximizing school success, exploring career alternatives and goals and developing skills for employment preparation.
- Supporting the development of good study habits, school attachment and achievement, educational and career aspirations.
- Nurturing the development of healthy life skills such as health behaviors, goal setting, decision making, negotiation, communication and interpersonal skills, use of available resources and stress management.

Additional Programming Requirements for Components One (1) through Three (3)

Adherence to federal requirements

As noted above, all STYA projects need to be consistent with federal AEGP requirements. While STYA does not utilize direct abstinence education strategies, programming and materials may not contradict the Social Security Act Section 510(b)(2) (A-H) definition of abstinence education (see Attachment 1, page 2). All funded projects must adhere to the federal guidance prohibiting the use of religious materials/programs (Attachment 8). In addition, all information and materials used by grantees must be medically accurate. Medical accuracy means that medical information must be verified or supported by the weight of research conducted in compliance with accepted scientific methods and published in peer-reviewed journals, where applicable, or be comprised of information that leading professional organizations and agencies with relevant expertise in the field recognize as accurate, objective and complete. All applicants need to attest to this by signing the required Statement of Assurances (Attachment 1, page 1), if awarded funding through this procurement.

Accessibility of Services

Applicants should propose specific activities designed to achieve the initiative’s goal and outcomes based on the needs and resources of the target community and the developmental, socio-economic, racial, ethnic and cultural needs and perspectives of the population(s) to be served. Applicants should ensure that programming is held in fully accessible spaces and provide program modifications and accommodations for participants with disabilities.

NYSDOH has a long history of supporting and working with community-based organizations that are representative of the populations targeted for services. All youth will be eligible to participate in program services without regard to race, ethnicity, language needs, sexual orientation or identity or gender bias. The societal, cultural and personal experience of adolescents with disabilities should be factored into program activities to ensure successful skill-building. Also, special considerations such as location or a child friendly environment may be necessary to engage youth to ensure access to programming.

Training for Grantees

As with other youth-serving initiatives supported by NYSDOH, the STYA program will utilize a youth development, strength-based approach to working with preteen youth. Funded projects will receive information and training on integrating the principles of youth development into their program operations. Projects will also receive training and assistance on how to increase and enhance young people’s developmental assets (per the Search Institute’s list of developmental assets for young people ages 8 to 12, see Attachment 6). Core elements of the training programs will include: assessing and building on the young people’s internal and external assets; actively seeking input from youth and their families on program design and service delivery; developing mentoring relationships; meeting the needs of youth with disabilities and those in foster care; fostering long-term involvement with program services; involving the community in project activities; and, providing educational, vocational, and recreational opportunities.

Reporting Requirements

Funded projects will be required to adhere to reporting requirements supplied by the NYSDOH that include the specific measures mandated by ACYF. These reporting requirements will be shared with successful applicants.

II. Completing the Application

A. Application Content

All completed applications are to include Sections one (1) through eight (8) as outlined below. An Applicant Checklist has been provided to help applicants ensure that their applications are complete (see Attachment 17). Each application should include all the elements in the checklist, titled and labeled in the order presented in the RFA.

1. **Grant Application Cover Page** **(0 points)**

The Grant Application Cover Page is the first page of the application and is to provide relevant information about the applicant organization/agency, the proposed project, targeted ASHNI ZIP codes, and the amounts of both requested funding and matching funds to be provided by the applicant organization (see Attachment 18).

2. **Statement of Assurances** **(0 points)**

The Executive Director or Chief Executive Officer of the applicant organization is expected to sign and return the attached Statement of Assurances (see Attachment 1), if awarded funding through this procurement.

3. **Project Summary** **(5 points)**

One page limit
The purpose of this section is to summarize the proposed project.

a) Describe the county and geographic service area, including targeted ZIP codes, with associated ASHNI scores for proposed community. Applicants may choose to serve more than one of the highest scoring ASHNI ZIP codes within the county; however, each target community chosen is to be clearly identified. Note: Refer to Attachment 9 for the ASHNI ranking of ZIP codes within each targeted county.
b) Describe the target populations to be served, including age range, gender, and cultural, racial and ethnic composition.
c) Identify health disparities identified for each proposed community that are related to race, ethnicity, disability, socioeconomic status and/or geography.
d) Briefly describe the program design, which is consistent with the three core components included in Section I. F. Work Scope.

4. **Organizational Experience and Capacity** **(20 points)**

Three page limit

The purpose of this section is to demonstrate the applicant organization's capacity to implement and administer the proposed project and evidence of prior success with similar initiatives and target populations.

a) Describe the applicant organization, its mission, the range of services, which it provides, and communities where these services are provided.
b) Describe the populations currently served by this organization including such factors as age, gender, race, ethnicity, socioeconomic status and other significant characteristics as appropriate.

c) Describe the applicant organization's experience in providing youth programming and services to youth from high-risk communities, including those in foster care, those who are members of racial, ethnic and/or cultural minorities, and individuals with disabilities.
d) Discuss the applicant organization's relationships with schools, institutional settings, and/or community organizations, which serve youth in the targeted communities. Discuss mechanisms to refer youth to other community-based service providers for physical, social, emotional, educational, and developmental support and services as necessary.
e) Describe how the applicant organization will work with other service providers and individuals in their respective communities to identify and provide or expand a range of positive opportunities for the youth and their families.
f) Include letters of commitment from all schools, institutions, community-and faith-based organizations, juvenile detention centers, congregate care facilities, or other venues where project services will take place as an appendix to the application.
g) Indicate how the Board of Directors, and current staff, including senior management staff, represent the racial, ethnic and/or cultural populations the proposed project intends to reach and serve.
h) Attach the applicant organization's current organizational chart showing the location of the proposed services within the organization as an appendix to the application.
i) Confirm that the applicant organization will employ a STYA project director/coordinator who will be accessible full-time to the NYSDOH (including by e-mail); perform the essential tasks required to administer the project; be the lead in programmatic activities; and ultimately be responsible for the successful completion of the project/contract.
j) Describe the applicant organization's experience in the administration of government contracts.

Please note: The letters of commitment and organizational chart requested in this section are to be included in the appendices to the application and do not count towards this two page limit.

5. **Community Needs and Resources Assessment** **(15 points)**

Two page limit

The purpose of this section is to determine local health and human services needs and available resources affecting adolescent pregnancy and childbearing in the targeted communities. Applicants may choose to serve more than one of the highest scoring ASHNI ZIP code regions within the county; however, each separate and distinct target community is to be clearly reflected in this section.

a) Identify the proposed ASHNI ZIP code(s) selected as the target area(s).
b) Discuss the identified **needs** in the target community for the proposed project that pose an increased risk for early adolescent sexual activity.
c) Discuss the identified community **resources** currently available to serve preteen youth in the proposed target preteen community and how this project fills in gaps in those resources.

d) Describe how the overall project will incorporate the input of a diverse group of stakeholders, including youth, parents/caregivers, racial, ethnic and/or cultural minority groups and persons with disabilities.

6. Proposed Activities (20 points)

Six page limit

The purpose of this section is to describe the design and structure of the proposed project, including the activities that will be developed and implemented and how the components will complement each other. Note: Additional information on these components can be found in Section I. F. Work Scope.

Note: In accordance with funding requirements, all educational materials and curricula designed, mass produced, and used for instructional and informational purposes for this program will be medically accurate. Medical accuracy means that medical information must be verified or supported by the weight of research conducted in compliance with accepted scientific methods and published in peer-reviewed journals, where applicable, or be comprised of information that leading professional organizations and agencies with relevant expertise in the field recognize as accurate, objective and complete.

Provide the following information for the proposed activities of the three components listed below in the work scope in Section 1F:

a) Describe the design and structure of the proposed project.
b) Describe how the proposed program design addresses the needs and draws on the resources identified in Section II. 5. Community Needs and Resources Assessment.
c) Identify the target population to be served and how the proposed services are relevant to this population.
d) Describe how your agency will work with other local service providers to foster a network of community resources for referrals, if needed.
e) Identify the locations where project services will be provided and confirm that they are appropriate and accessible for the target population.

In addition to the information listed above, provide the component-specific information listed below:

Component 1:
A. Provide individual, small group, and/or team mentoring to preteen youth. (See Attachments 11, 12, 13 and 14).

a) Specify which mentoring model(s) will be implemented (traditional, small group and/or team mentoring), the rationale for selecting the model(s) and how the model will be implemented.
b) If traditional mentoring will be implemented, describe which approach(es) will be used.
c) Address each of the six elements of an effective mentoring program as described in

Attachment 13.

d) Specify the expected duration of services provided. Describe plans to ensure that mentored relationships will be at least one year in duration.
e) Describe the orientation and training that mentors working with youth will receive.
f) Indicate whether the program design will include reimbursement to mentors for activities engaged in by mentored youth and/or donations from local businesses, such as discounted tickets to a museum or cultural event. Describe the plan to implement this element(s).

AND/OR

B. Provide or expand adult-supervised activities that create educational, recreational, or vocational opportunities for preteen youth. (See Attachment 15 for additional information).

a) Identify the specific activities that will be included in this component.
b) Indicate the number of adult volunteers who will provide these services and how they will be selected.
c) Describe the orientation and training that volunteers working with youth will receive.
d) Describe plans to ensure that youth involved in activities will be exposed to at least 14 hours of programming.

Component 2: **Provide adult-led group sessions designed to allow for in-depth discussion of topics of concern among preteen youth.** (See Attachment 15 for additional information).

a) Describe the model(s) that will be used for group sessions.
b) Indicate the number of adult volunteers who will provide these services and how they will be selected.
c) Describe the orientation and training that volunteers working with youth will receive.
d) Describe plans to ensure that youth involved in activities will be exposed to at least 14 hours of programming.

Component 3: Provide parenting education to the parents, guardians, and other adult caregivers of preteen youth. (See Attachment 16).

a) Describe an overview of the topics, which will be covered under this component, the number of participants and number of sessions for each topic area.

7. Work Plan (20 points)

No page limit

The purpose of this section is to describe the proposed project goals, objectives, and activities, person responsible and measureable time frames for the proposed project on the attached Work Plan forms (see Attachment 19). The work plan should be consistent with the proposed project activities as described in Section 6: Proposed Activities.

All proposed work plan objectives should be written in a SMART format: **S**pecific, **M**easurable, **A**chievable, **R**ealistic, and **T**ime-bound. An objective is a statement, which defines a measurable result that the project expects to accomplish and should include these components:

Specific: The objective should specify what result directly related to the project will be accomplished and state what will be done, to whom, by how much, in what time frame, and how it will be measured. The observable action, behavior, or achievement should be directly linked to a rate, number, percentage, or frequency.

Measurable: The objective should describe in realistic terms the expected results and specify how such results will be measured.

Achievable: The accomplishment specified in the objective must be achievable within the proposed timeline and as a direct result of project activities.

Realistic: The objective must be reasonable in nature. The expected results or outcomes should be described in reasonable terms.

Time-framed: The objective should specify target dates or timeframes for the task to be started and completed.

Note: The COE will work with each individual funded project and NYSDOH to develop and conduct an evaluation for both community-based project activities as well as the overall STYA initiative in NYS. All awardees will be required to participate in the evaluation process. Please note all proposed programming will be subject to initial and ongoing review by the NYSDOH and COE for appropriateness.

8. Budget and Staffing Plan (20 points)

No page limit

The budget is to be submitted in the format prescribed. The applicant should carefully review the detailed budget instructions (see Attachment 20) and submit completed budget forms (see Attachment 21). Applicants will develop a cost allocation methodology for compliance with grant requirements regarding administration and allowable costs using the principles applicable to your organization as outlined in Attachment 22, Grant Contract (Multi-Year), Appendix A-1 (Agency Specific Clauses for All Department of Health Contracts), (3)(a) Administrative Rules and Audits. Clearly label each page of the budget with the applicant name. If the budget is not within the stated amount of funding available as indicated in Section II.B Review and Award Process, the award amount will be adjusted downward.

a) Applicants are to submit one budget for each year of the term, i.e., five total. Budget should be completed assuming a 10/1/12 start date, describing how the project funds received will be used and detailing justification for each cost in a supporting narrative. It is expected that contracts resulting from this RFP will have the following time period: October 1, 2012 through June 30, 2017. Contracts will be written for a five-year term with no annual renewals; budgets will be negotiated during the contracting phase.
b) Final budgets will be negotiated with successful applicants and are dependent upon the availability of funds. Ineligible items will be removed before the budget is scored and the

amount requested will be reduced to reflect these changes.

c) The applicant organization/agency is to employ a project director/coordinator within the organization/agency that is accessible full-time to the NYSDOH including by e-mail; perform the essential tasks required to administer the project; be the lead in programmatic activities; and ultimately be responsible for the successful completion of the project/contract. Current (dated) job descriptions, which include title, function, and specific responsibilities should be provided for the project coordinator and all other staff proposed for project.
d) Administrative Expenses (personal service and other than personal service (OTPS)) should be in line item detail and not exceed 10% of the amount requested from the state under the RFA. **Lump sum administrative or indirect costs or rates will not be considered.** Administrative costs are identifiable and verifiable expenses for duties performed in support of a grant by staff not directly involved in the provision of deliverables as outlined in the Work Plan. These staff generally perform similar administrative duties for grants or projects, and their time is apportioned accordingly in the various grant budgets.
e) The budget should contain a travel line item for staff travel to Albany for a two-day providers' meeting. The costs of travel, overnight lodging and meals should be included. Costs should be allocated in accordance with New York State Office of the State Comptroller guidelines. These guidelines, including the current available rates, may be found by accessing the following web site: *http://osc.state.ny.us/agencies/travel/travel.htm*
f) Funds may be used to ensure cultural sensitivity, for instance, to translate materials to appropriate languages, provide formats that are accessible to those who are visually or hearing impaired, hiring of bi-lingual staff, and/or as needed to provide wheelchair accessible transportation or interpreters (including sign language).
g) Funds may be used to include costs for background checks.
h) This funding may only be used to expand existing activities or create new activities pursuant to this RFA. These funds may not be used to supplant funds for currently existing staff activities, and allocation of personnel costs to grant funds must be proportionate across revenue streams. The initiative will not provide funding for other direct clinical/medical services and supplies, including, but not limited to: case management, mental health counseling, health care, crisis intervention, child care or services that are available through other resources. Funds may be used to increase access to these or other community services or supports through referrals.
i) The proposed budget should reflect the matching funds requirements, as described in Section I. E Minimum Requirements. The applicant must provide a 43% match for funding provided through this RFA comprised of local funds, which can come from local government dollars, private dollars (such as foundation dollars), or in-kind support. This match **cannot** come from state or federal sources and may not be used as a match on any other grant. The source(s) of the proposed match must be shown on Budget Forms A, A-1, A-2, and B-4. This match must clearly be related to proposed STYA activities. Match may include, but not limited to the following:
    - Personnel costs
    - Volunteer and/or staff donated time
    - Facility space/estimated and/or actual room rental
    - Travel
    - Audio visual equipment use

- Other equipment purchased and used to support the project
- Office supplies and any materials for abstinence only education
- Donated items/incentives from local businesses, organizations or individuals
- Cash match

j) Applicants' budget requests will be evaluated on: the alignment of the proposed budget with the scope of activities to be conducted (including an appropriate overall staffing pattern); how in-kind services indicate an organizational commitment to this project; and a clear and appropriate budget justification for each line item.

B. Review and Award Process

- It is anticipated that up to fifteen awards will be made through this initiative at an amount not to exceed $170,509 per award per year (a total of approximately $2,557,645 annually), for a five (5) year period contingent upon satisfactory performance and availability of funds. $170,509 represents the State share of 57%, and the applicant must demonstrate the ability to fund at least 43% of the project's total cost.
- The requested funding needs to be consistent with the proposed scope of services, reasonable, and cost effective.
- Applications meeting the minimum eligibility criteria listed in Section I. E Requirements will be reviewed and scored by a NYSDOH team of trained reviewers using a standardized review tool developed specifically for this RFA.
- Applications will be ranked, by county, in order from highest to lowest score.
- An application **must** have a minimum score of 65 to be considered for funding.
- The highest-scoring passing application in each of the following target counties will be selected for funding: *Albany, Bronx, Erie, Kings, Monroe, Nassau, New York, Niagara, Oneida, Onondaga, Orange, Queens, Richmond, Suffolk, and Westchester*.
- If any funding remains available after viable projects targeting these counties have been awarded, proposals to serve other counties will be considered for funding, along with additional projects to serve any of the fifteen target counties. These additional awards, if any, will be made in descending rank order by score until all available funding is distributed. (i.e., the NYSDOH will take the remainder of the passing applications, place them in rank order from highest to lowest score, and select the next highest scoring application(s) for funding, regardless of county.)
- In the event of a tie score, a higher sub-score in Section II. 6. Proposed Activities breaks the tie.
- If changes in funding amounts are necessary for this initiative, funding will be modified and awarded in the same manner as outlined in the award process described above.
- Applications failing to provide all response requirements or failing to follow the prescribed format may be removed from consideration or points may be deducted.

Once an award has been made, applicants may request a debriefing of their application. Please note the debriefing will be limited only to the strengths and weaknesses of the subject application and will not include any discussion of other applications. Requests must be received no later than ten (10) business days from date of award or non-award announcement.

In the event unsuccessful applicants wish to protest the award resulting from this RFA, applicants should follow the protest procedures established by the Office of the State Comptroller (OSC).

These procedures can be found on the OSC website at:
http://www.osc.state.ny.us/agencies/gbull/g_232.htm

C. Application Format

ALL APPLICATIONS SHOULD CONFORM TO THE FORMAT PRESCRIBED BELOW. POINTS WILL BE DEDUCTED FROM APPLICATIONS, WHICH DEVIATE FROM THE PRESCRIBED FORMAT.

Applications should not exceed the page limits specified below and should be double spaced typed pages (not including the cover page, budget and attachments), using a 12 pitch font and one-inch margins. The value assigned to each section is an indication of the relative weight that will be given when scoring your application.

1. Grant Application Cover Page	(1 page)	(0 Points)
2. Statement of Assurances	(1 page)	(0 Points)
3. Project Summary	(1 page or less)	(Maximum Score: 5 points)
4. Organizational Experience and Capacity	(3 pages or less)	(Maximum Score: 20 points)
5. Community Needs and Resource Assessment	(2 pages or less)	(Maximum Score: 15 points)
6. Proposed Activities	(6 pages or less)	(Maximum Score: 20 points)
7. Work plan	(use Work plan format)	(Maximum Score: 20 points)
8. Budget Justification	(use Budget Format)	(Maximum Score: 20 points)

III. Administrative Requirements

A. Issuing Agency

This RFA is issued by the NYSDOH, Division of Family Health, Bureau of Maternal and Child Health, Adolescent Health Unit, which is responsible for the requirements specified herein and for the evaluation of all applications.

B. Letter of Interest

Prospective applicants are encouraged to submit a Letter of Interest, Attachment 23, in order to automatically receive questions and answers regarding this RFA. This letter **must** be received by the date specified on the RFA cover sheet in order to automatically receive written responses to questions and to receive any updates or modifications to this RFA. This letter should be sent to the name and address on the cover of this RFA. Questions and answers will be posted to the NYSDOH web site at http://www.health.ny.gov/funding/ on or about the date specified on the RFA cover sheet. Submission of a Letter of Interest is not a requirement for submission of an application.

C. Question and Answer Phase

All substantive questions are to be submitted to:

AEGP@health.state.ny.us
or
Dora Swan
NYS Department of Health
Bureau of Maternal and Child Health
Corning Tower, Room 859
Albany, New York 12237

To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers. Written questions will be accepted until 5:00 pm on the date posted on the cover of this RFA.

Questions of a technical nature can be addressed in writing via e-mail to: AEGP@health.state.ny.us or via telephone by calling Dora Swan at (518) 473-6172. Questions are of a technical nature if they are limited to how to prepare your application (e.g., formatting) rather than relating to the substance of the application.

Prospective applicants should note that all clarification and exceptions, including those relating to the terms and conditions of the contract, are to be raised prior to the submission of an application.

This RFA has been posted on the NYSDOH's public website at: http://www.health.ny.gov/funding/. Questions and answers, as well as any updates and/or modifications, will also be posted on the NYSDOH's website. All such updates will be posted on or about the date identified on the cover sheet of this RFA.

D. Applicant Conference

An Applicant Conference will be held for this project. This conference will be held via teleconference on the date posted on the cover sheet of this RFA. The Department requests that potential applicants register for the conference call by returning the attached form "Registration for Applicant Conference" (Attachment 24) by the date posted on the cover sheet of this RFA. This will help the Department ensure the availability of sufficient telephone lines for participants. The form can be returned by e-mail to AEGP@health.state.ny.us

E. How to File an Application

Applicants shall submit one (1) original signed application and four (4) copies. Only one application per organization can be received in response to this procurement. Application packages should be clearly labeled with the name and number of the RFA as listed on the cover of this RFA document. Applications will not be accepted via fax or e-mail.

Applications **must** be **received** at the following address by the date and time posted on the cover sheet of this RFA. Late applications will not be accepted. It is the applicant's responsibility to see that applications are delivered to the address below prior to the date and time specified. Late applications due to a documentable delay by the carrier may be considered at the NYSDOH's discretion.

Dora Swan
Bureau of Maternal and Child Health
NYS Department of Health
Corning Tower, Room 859
Albany, NY 12237-0618
Telephone No.: (518) 473-6172

F. The Department of Health Reserves the Right to:

1. Reject any or all applications received in response to this RFA.

2. Withdraw the RFA at any time, at the Department's sole discretion.

3. Make an award under the RFA in whole or in part.

4. Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.

5. Seek clarifications and revisions of applications.

6. Use application information obtained through site visits, management interviews and the state's investigation of an applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFA.

7. Prior to application opening, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.

8. Prior to application opening, direct applicants to submit proposal modifications addressing subsequent RFA amendments.

9. Change any of the scheduled dates.

10. Waive any requirements that are not material.

11. Award more than one contract resulting from this RFA.

12. Conduct contract negotiations with the next responsible applicant, should the Department be unsuccessful in negotiating with the selected applicant.

13. Utilize any and all ideas submitted with the applications received.

14. Unless otherwise specified in the RFA, every offer is firm and not revocable for a period of 60 days from the bid opening.

15. Waive or modify minor irregularities in applications received after prior notification to the applicant.

16. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's application and/or to determine an offerer's compliance with the requirements of the RFA.

17. Negotiate with successful applicants within the scope of the RFA in the best interests of the State.

18. Eliminate any mandatory, non-material specifications that cannot be complied with by all applicants.

19. Award grants based on geographic or regional considerations to serve the best interests of the state.

G. Term of Contract

Any contract resulting from this RFA will be effective only upon approval by the New York State Office of the Comptroller.

It is expected that contracts resulting from this RFA will be multi-year and have the following contract term: 10/1/12 through 9/30/17 contingent upon satisfactory performance and availability of funds.

H. Payment & Reporting Requirements of Grant Awardees

1. The State (NYSDOH) may, at its discretion, make an advance payment to not-for-profit grant contractors in an amount not to exceed 25% percent.

2. The grant contractor will be required to submit quarterly invoices and required reports of expenditures to the State's designated payment office:

   Administration Unit
   Bureau of Maternal and Child Health
   NYS Department of Health
   Corning Tower Building
   Room 878
   Empire State Plaza
   Albany, New York 12237-0657

   Grant contractors shall provide complete and accurate billing vouchers to the Department's designated payment office in order to receive payment. Billing vouchers submitted to the Department must contain all information and supporting documentation required by the Contract, the Department and the State Comptroller. Payment for vouchers submitted by the CONTRACTOR shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The CONTRACTOR shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us or by telephone at 518-486-1255. CONTRACTOR acknowledges that it will not receive payment on any vouchers submitted under this contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

Payment of such vouchers by the State (NYS Department of Health) shall be made in accordance with Article XI-A of the New York State Finance Law. Payment will be for reimbursement of costs incurred as allowed in the contract budget and work plan on a quarterly basis contingent on the timely submission of acceptable required reports.

3. The grant contractor will be required to submit the following periodic reports:
   a. Quarterly Progress Reports that include the specific efficiency measures required by ACYF
   b. Quarterly Expenditure Reports
   c. Annual Report

In addition, the NYSDOH will conduct site visits and evaluations.

All payment and reporting requirements will be detailed in Appendix C of the final grant contract.

I. Vendor Responsibility Questionnaire (see Attachments 25, 25a, 25b, and 25c)

The New York State Department of Health recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at http://www.osc.state.ny.us/vendrep/vendor_index.htm or go directly to the VendRep system online at https://portal.osc.state.ny.us.

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ciohelpdesk@osc.state.ny.us.

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website www.osc.state.ny.us/vendrep or may contact the Office of the State Comptroller's Help Desk for a copy of the paper form.

Applicants should complete and submit the Vendor Responsibility Attestation (Attachment 25c)

J. General Specifications

1. By signing the "Application Form" each applicant attests to its express authority to sign on behalf of the applicant.

2. Contractor will possess, at no cost to the State, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this contract will possess the qualifications, training, licenses and permits as may be required within such jurisdiction.

3. Submission of an application indicates the applicant's acceptance of all conditions and terms contained in this RFA, including the terms and conditions of the contract. Any exceptions allowed by the NYSDOH during the Question and Answer Phase (section III. C) **must** be clearly noted in a cover letter attached to the application.

4. An applicant may be disqualified from receiving awards if such applicant or any subsidiary, affiliate, partner, officer, agent or principal thereof, or anyone in its employ, has previously failed to perform satisfactorily in connection with public bidding or contracts.

5. Provisions Upon Default

a. The services to be performed by the Applicant shall be at all times subject to the direction and control of the Department as to all matters arising in connection with or relating to the contract resulting from this RFA.

b. In the event that the Applicant, through any cause, fails to perform any of the terms, covenants or promises of any contract resulting from this RFA, the Department acting for and on behalf of the State, shall thereupon have the right to terminate the contract by giving notice in writing of the fact and date of such termination to the Applicant.

c. If, in the judgment of the Department, the Applicant acts in such a way which is likely to or does impair or prejudice the interests of the State, the Department acting on behalf of the State, shall thereupon have the right to terminate any contract resulting from this RFA by giving notice in writing of the fact and date of such termination to the Contractor. In such case the Contractor shall receive equitable compensation for such services as shall, in the judgment of the State Comptroller, have been satisfactorily performed by the Contractor up to the date of the termination of this agreement, which such compensation shall not exceed the total cost incurred for the work which the Contractor was engaged in at the time of such termination, subject to audit by the State Comptroller.

K. Appendices Included in NYSDOH Contracts

The following will be incorporated as appendices into any contract(s) resulting from this Request for Application.

APPENDIX A	Standard Clauses for All New York State Contracts
APPENDIX A-1	Agency Specific Clauses
APPENDIX A-2	Program Specific Clauses
APPENDIX B	Budget
APPENDIX C	Payment and Reporting Schedule
APPENDIX D	Work Plan
APPENDIX G	Notifications

APPENDIX E Unless the CONTRACTOR is a political sub-division of New York State, the CONTRACTOR shall provide proof, completed by the CONTRACTOR's insurance carrier and/or the Workers' Compensation Board, of coverage for:

Workers' Compensation, for which one of the following is incorporated into this contract as **Appendix E-1**:

☐ **CE-200** - Certificate of Attestation For New York Entities With No Employees And Certain Out Of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required; OR

☐ **C-105.2** -- Certificate of Workers' Compensation Insurance. PLEASE NOTE: The State Insurance Fund provides its own version of this form, the **U-26.3**; OR

☐ **SI-12** -- Certificate of Workers' Compensation Self-Insurance, OR **GSI-105.2** -- Certificate of Participation in Workers' Compensation Group Self-Insurance

Disability Benefits coverage, for which one of the following is incorporated into this contract as **Appendix E-2**:
☐ **CE-200** - Certificate of Attestation For New York Entities With No Employees And Certain Out Of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required; OR

DB-120.1 -- Certificate of Disability Benefits Insurance OR

DB-155 -- Certificate of Disability Benefits Self-Insurance

> **NOTE: Do not include the Workers' Compensation and Disability Benefits forms with your application.** These documents will be requested as a part of the contracting process should you receive an award.

IV. Attachments

Attachment 1:	Statement of Assurances
Attachment 2:	Number of Births to NYS Adolescents Ages 19 and Under, Statewide and in Targeted Counties (2010)
Attachment 3:	Number of Pregnancies to NYS Adolescents Ages 19 and under, Statewide and in Targeted Counties (2010)
Attachment 4:	Adolescent Pregnancy Rates per Thousand by Race and Ethnicity and Age New York State, 2009
Attachment 5:	Youth Ages 8-13 in Foster Care, Statewide and in Targeted Counties, as of 12/31/10
Attachment 6:	40 Developmental Assets® for Middle Childhood (ages 8 to 12) (Search Institute)
Attachment 7:	Positive Youth Development Philosophy (Youth Development Framework)
Attachment 8:	Guidance for Abstinence Program Grantees That Implement Religious Programs
Attachment 9:	ZIP Code Level Adolescent Sexual Health Needs Index (ASHNI) for Targeted Counties
Attachment 10	Resources on Screening of Mentors
Attachment 11:	Mentoring Models and Design Considerations
Attachment 12:	Informational Overview of Types of Mentoring Programs
Attachment 13:	*Elements of Effective Practice for Mentoring*™ (a publication of MENTOR)
Attachment 14:	Resources on Mentoring and Service-Learning
Attachment 15:	Internet Resources for Use in Completing the Application
Attachment 16:	Parenting Education Resources
Attachment 17:	Applicant Checklist
Attachment 18:	Grant Application Cover Page
Attachment 19:	Work Plan
Attachment 20:	Budget Instructions
Attachment 21:	Budget Forms
Attachment 22:	Multi-Year Grant Contract with Appendices
Attachment 23:	Letter of Interest Format
Attachment 24:	Registration for Applicant Conference Call
Attachment 25:	Instructions for Vendor Responsibility Alternate Format Questionnaires
Attachment 25a:	NYS Vendor Responsibility Definitions List
Attachment 25b:	NYS Vendor Responsibility Questionnaire
Attachment 25c:	Vendor Responsibility Attestation

Attachment 1

STATEMENT OF ASSURANCES
Successfully Transitioning Youth to Adolescence Initiative

To be eligible for approval to operate a Successfully Transitioning Youth to Adolescence (STYA) project, the applicant organization's Chief Executive Officer or Executive Director must attest to compliance with all of the statements below. Original signatures in ink must appear at the bottom of the page.

I hereby attest and certify that:

- All abstinence educational materials that are presented as factual will be grounded in scientific research and medically accurate. All educational materials and curricula designed, mass produced, and used for instructional and informational purposes will be medically accurate.
  Note: Medical accuracy means that medical information must be verified or supported by the weight of research conducted in compliance with accepted scientific methods and published in peer-reviewed journals, where applicable, or be comprised of information that leading professional organizations and agencies with relevant expertise in the field recognize as accurate, objective and complete.

- The New York State Department of Health (NYSDOH) will be informed of all materials proposed for use in the project for purposes of reviewing them for medical accuracy.

- Programming and materials to be used by the proposed project will not contradict Section 510(b)(2) (A-H) elements of the Social Security Act. (See page 2)

- Programming will be held in fully accessible spaces and program modifications and accommodations for participants with disabilities are ascertained and provided.

- A designated individual employed within the organization will be responsible for STYA administration, operation and oversight. This individual will be accessible to NYSDOH full-time (including by e-mail) and attend STYA provider meetings with other appropriate staff.

- Any changes in services, the designated contact person, staffing levels, space, or project sites will **be reported immediately in writing** to the NYSDOH Adolescent Health Unit.

- Quarterly and annual project reports will be submitted to the NYSDOH within 45 days of the completion of the quarter.

- The applicant organization can demonstrate the ability to provide matching funds equal to 43% of the total project cost.

I hereby certify that the information contained in this application is correct and in compliance with appropriate federal and state laws and regulations and that I am the authorized representatives to file this application.

Chief Executive Officer or Executive Director

Print Name: ____

Signature: ____

Title: ____

Agency: ____

Date: ____

Social Security Act Section 510(b)(1) and (b)(2)
A-H Definition of Abstinence Education

(b) (1) The purpose of an allotment under subsection (a) to a State is to enable the State to provide abstinence education, and at the option of the State, where appropriate, mentoring, counseling and adult supervision to promote abstinence from sexual activity, with a focus on those groups which are most likely to bear children out-of-wedlock.

(b) (2) For purposes of this section, the term “abstinence education” means an educational or motivational program which-

A. Have as its exclusive purpose teaching the social, psychological, and health gains to be realized by abstaining from sexual activity
B. Teach abstinence from sexual activity outside marriage as the expected standard for all school-age children
C. Teach that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems
D. Teach that a mutually faithful, monogamous relationship in the context of marriage is the expected standard of sexual activity
E. Teach that sexual activity outside the context of marriage is likely to have harmful psychological and physical effects
F. Teach that bearing children out of wedlock is likely to have harmful consequences for the child, the child's parents, and society
G. Teach young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances
H. Teach the importance of attaining self-sufficiency before engaging in sexual activity

Source: Title V, Section 510 (b)(1) and (b)(2)(A-H) of the Social Security Act (P.L. 104-193).

Attachment 2

Number of Births, NYS Adolescents Ages 19 and Under, Statewide and in Targeted Counties

2010

	Targeted County	<15	15-17	18-19
	New York State	185	4,330	10,749
	Albany	4	55	141
	Bronx	37	721	1,518
	Erie	7	243	559
	Kings	31	678	1,586
	Monroe	13	215	555
	Nassau	7	137	307
	New York	9	251	621
	Niagara	0	54	147
	Oneida	4	69	178
	Onondaga	6	143	315
	Orange	3	85	210
	Queens	18	428	1,023
	Richmond	4	98	180
	Suffolk	12	224	553
	Westchester	11	123	347

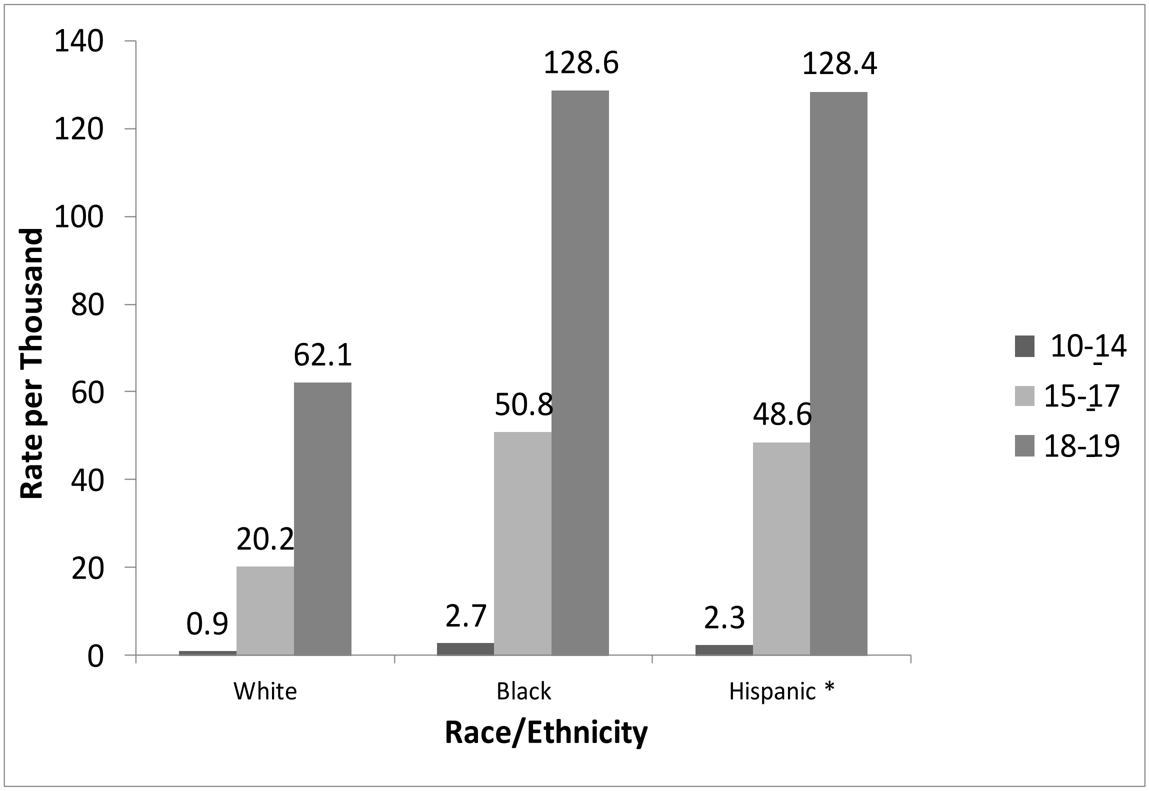
Attachment 3

Number of Pregnancies, NYS Adolescents Ages 19 and Under, Statewide and in Targeted Counties

2010

	Targeted County	<15	15-17	18-19
	New York State	775	11,033	22,469
	Albany	8	122	298
	Bronx	156	2,045	3,600
	Erie	44	499	993
	Kings	181	2,164	4,056
	Monroe	22	440	957
	Nassau	20	325	674
	New York	52	859	1,722
	Niagara	5	108	249
	Oneida	8	131	284
	Onondaga	13	270	527
	Orange	7	168	409
	Queens	108	1,352	2,697
	Richmond	27	279	465
	Suffolk	29	501	1,045
	Westchester	22	288	647

Attachment 4
Adolescent Pregnancy Rates Per Thousand
by Race/Ethnicity and Age
New York State, 2010



* Race and Hispanic ethnicity are not mutually exclusive. Hispanic refers to teens of all races who reported being of Hispanic origin.

Attachment 5

Number of NYS Youth Ages 10 - 13 in Foster Care
Statewide and in Targeted Counties
(as of 12/31/10)

New York State	3,314
Albany	17
Erie	118
Monroe	73
Nassau	46
Niagara	32
Oneida	49
Onondaga	39
Orange	55
Suffolk	97
Westchester	104
New York City*	2,111

Number of children (0 - 18+) in each type of care:

	Foster Home	Approved Relative Home	Congregate Care	Other
New York State	12,856	5,897	3,933	535
Albany	77	19	102	6
Erie	646	12	153	32
Monroe	344	0	174	23
Nassau	177	39	154	12
Niagara	126	18	44	7
Oneida	165	32	111	14
Onondaga	193	6	78	53
Orange	190	104	98	7
Suffolk	347	118	201	16
Westchester	307	89	233	32
New York City*	7,912	5,181	1,497	190

*** New York City number includes all five boroughs: Bronx, Manhattan, Kings, Queens, Richmond**

Attachment 6

40 Developmental Assets® for Middle Childhood (ages 8-12)

Search Institute® has identified the following building blocks of healthy development—known as **Developmental Assets®**—that help young people grow up healthy, caring, and responsible.

External Assets

Support

1. **Family support**—Family life provides high levels of love and support.
2. **Positive family communication**—Parent(s) and child communicate positively. Child feels comfortable seeking advice and counsel from parent(s).
3. **Other adult relationships**—Child receives support from adults other than her or his parent(s).
4. **Caring neighborhood**—Child experiences caring neighbors.
5. **Caring school climate**—Relationships with teachers and peers provide a caring, encouraging environment.
6. **Parent involvement in schooling**—Parent(s) are actively involved in helping the child succeed in school.

Empowerment

7. **Community values youth**—Child feels valued and appreciated by adults in the community.
8. **Children as resources**—Child is included in decisions at home and in the community.
9. **Service to others**—Child has opportunities to help others in the community.
10. **Safety**—Child feels safe at home, at school, and in his or her neighborhood.

Boundaries & Expectations

11. **Family boundaries**—Family has clear and consistent rules and consequences and monitors the child's whereabouts.
12. **School Boundaries**—School provides clear rules and consequences.
13. **Neighborhood boundaries**—Neighbors take responsibility for monitoring the child's behavior.
14. **Adult role models**—Parent(s) and other adults in the child's family, as well as nonfamily adults, model positive, responsible behavior.
15. **Positive peer influence**—Child's closest friends model positive, responsible behavior.
16. **High expectations**—Parent(s) and teachers expect the child to do her or his best at school and in other activities.

Constructive Use of Time

17. **Creative activities**—Child participates in music, art, drama, or creative writing two or more times per week.
18. **Child programs**—Child participates two or more times per week in cocurricular school activities or structured community programs for children..
19. **Religious community**—Child attends religious programs or services one or more times per week.
20. **Time at home**—Child spends some time most days both in high-quality interaction with parents and doing things at home other than watching TV or playing video games.

Internal Assets

Commitment to Learning

21. **Achievement Motivation**—Child is motivated and strives to do well in school.
22. **Learning Engagement**—Child is responsive, attentive, and actively engaged in learning at school and enjoys participating in learning activities outside of school.
23. **Homework**—Child usually hands in homework on time.
24. **Bonding to school**—Child cares about teachers and other adults at school.
25. **Reading for Pleasure**—Child enjoys and engages in reading for fun most days of the week.

Positive Values

26. **Caring**—Parent(s) tell the child it is important to help other people.
27. **Equality and social justice**—Parent(s) tell the child it is important to speak up for equal rights for all people.
28. **Integrity**—Parent(s) tell the child it is important to stand up for one's beliefs.
29. **Honesty**—Parent(s) tell the child it is important to tell the truth.
30. **Responsibility**—Parent(s) tell the child it is important to accept personal responsibility for behavior.
31. **Healthy Lifestyle**—Parent(s) tell the child it is important to have good health habits and an understanding of healthy sexuality.

Social Competencies

32. **Planning and decision making**—Child thinks about decisions and is usually happy with results of her or his decisions.
33. **Interpersonal Competence**—Child cares about and is affected by other people's feelings, enjoys making friends, and, when frustrated or angry, tries to calm her- or himself.
34. **Cultural Competence**—Child knows and is comfortable with people of different racial, ethnic, and cultural backgrounds and with her or his own cultural identity.
35. **Resistance skills**—Child can stay away from people who are likely to get her or him in trouble and is able to say no to doing wrong or dangerous things.
36. **Peaceful conflict resolution**—Child seeks to resolve conflict nonviolently.

Positive Identity

37. **Personal power**—Child feels he or she has some influence over things that happen in her or his life.
38. **Self-esteem**—Child likes and is proud to be the person that he or she is.
39. **Sense of purpose**—Child sometimes thinks about what life means and whether there is a purpose for her or his life.
40. **Positive view of personal future**—Child is optimistic about her or his personal future.

Attachment 7

Positive Youth Development Philosophy (Youth Development Framework)

Positive youth development is defined as the philosophy that guides how we organize supports, networks, and opportunities for young people within a community to enable them to develop to their full potential. This philosophy embraces six key principles:

- *Focus on positive youth outcomes*: Shifting from a reactive approach of preventing problem behavior to a proactive approach of preparing young people for adulthood by building on their strengths and developing skills and values. What do young people need to become productive, healthy, and happy adults? Positive outcomes include competencies (i.e., social, emotional, vocational, academic), self-confidence, connectedness (attachment to community, family, friends), character, compassion, and contribution.
- *Youth involvement/voice*: Youth should as much as possible participate in planning and decision-making. We need to identify and develop meaningful roles for young people in the community that encourage their active participation.
- *Inclusiveness*: Youth development strategies are generally provided to all young people. This does not mean that young people with greater needs do not receive additional support. There is a need to blend universal approaches with approaches that are targeting youth facing extra challenges.
- *Long-term involvement*: Opportunities, services, and programs have to be available for a long period of time to be effective. They have to accompany young people throughout their growing up years and reflect their changing developmental needs.
- *Community involvement*: It is important to engage the larger social environment that influences how young people grow up and develop. This includes family and friends, but also the community in which they live. Community is more than social service and youth organizations, schools, law enforcement agencies; it involves business, faith and civic groups, and private citizens who are not attached to any organization.
- *Collaboration*: Youth development requires people from various agencies and community groups to work together. Collaboration can express itself in different forms e.g., agencies coming together to write a grant proposal to community groups forming a coalition to achieve one common goal by sharing resources and expertise.

Karen Pittman (1996) relates youth development to public health, which deals with prevention at three levels: treating those who already have the problem (treatment or tertiary prevention); reducing the risks among those most likely to have the problem (secondary prevention in high-risk groups); and trying to reduce the likelihood that others will encounter the problem, usually through education (primary prevention). She points to the limitations of this approach when applied to complex youth issues such as violence, unemployment, and early pregnancy and advocates instead for an approach that builds on strengths to help youth achieve their potential rather than avoid problems. The slogan capturing this approach is, "Problem free is not fully prepared." The focus on development of programs, policies, and research agendas designed to promote positive outcomes, or what might be termed thriving behavior, is the core tenet of the youth development approach.

Attachment 8

GUIDANCE FOR ABSTINENCE PROGRAM GRANTEES THAT IMPLEMENT RELIGIOUS PROGRAMS

1. **Religious Materials**

   Eliminate all materials from the presentation of Federally funded program.

   This includes:

   - Bibles or other books of worship;
   - Registration materials that include religious inquiries or references;
   - Follow up activities that include or lead to religious outreach; and
   - Religious content in materials.

   45 CFR 87.2 © ("If an organization conducts [inherently religious] activities, the activities must be offered separately, in time or location, from the programs or services funded with direct financial assistance from the Department … "). 69 Fed. Reg 42586, 42593 (2004).

2. **Separate and Distinct Programs**

   Any program with religious content must be a separate and distinct program from the Federally funded program, and the distinction must be completely clear to the consumer. Some of the ways in which this may be accomplished include, but are not limited to, the following examples:

   - Creating separate and distinct names for programs;
   - Creating separate and distinct looks for the promotional materials used to promote each program; and
   - Promoting *only* the Federally funded program in materials, websites, or commercials purchased with *any portion* of the Federal funds.

   Note: If an organization offers both a Federally funded program and a religious program that provide the same social service, or the clients served are children, it is important that the separation between the programs be accentuated.

   45 CFR 87.2 ©. ("Organizations that receive direct financial assistance from the Department under any Department program may not engage in inherently religious activities, such as a worship, religious instruction, or proselytization, as part of the programs or services funded with direct financial assistance from the Department.") 69 Fed. Reg. 42586, 42593 (2004).

3. **Separate Presentations**

   Completely separate the presentation of any program with religious content fro the presentation of the Federally funded program by time or location in *such a way that it is clear that the two programs are separate and distinct.* If separating the two programs by time but presenting them in the same location, one program must *completely* end before the other program begins. Some of the ways in which separation of presentations may be accomplished include, but are not limited to, the following examples:

ZIP code level Adolescent Sexual Health Needs Index (ASHNI) Attachment 9

ZIP	ASHNI	ZIP	ASHNI	ZIP	ASHNI	ZIP	ASHNI	ZIP	ASHNI
Albany		**Albany**		**Erie**		**Erie**		**Kings**	
12203	112.7	12120	0.7	14215	585.1	14228	37.8	11212	1116.7
12206	71.4	12041	0.2	14211	422.0	14004	34.3	11207	1012.5
12202	53.4	**Bronx**		14208	321.4	14006	33.6	11226	929.1
12303	46.4			14213	233.0	14219	33.2	11221	799.7
12205	35.9	10456	1066.1	14204	153.6	14001	25.8	11208	777.9
12189	32.9	10453	904.0	14214	145.5	14057	23.4	11233	732.1
12047	26.4	10452	870.2	14212	116.9	14141	23.0	11203	665.0
12110	25.8	10457	777.1	14207	101.3	14059	22.0	11206	620.3
12208	24.4	10458	680.1	14150	100.9	14031	21.1	11236	616.3
12211	24.1	10466	617.8	14075	99.2	14047	19.6	11213	548.1
12210	23.3	10460	600.7	14221	94.4	14068	18.3	11225	490.6
12054	17.7	10467	567.7	14224	93.0	14085	18.2	11216	475.2
12209	17.3	10472	566.9	14201	88.0	14202	16.0	11237	349.9
12158	13.9	10468	563.0	14086	80.6	14032	15.1	11210	319.2
12077	11.8	10473	553.1	14225	79.6	14222	14.2	11211	298.2
12204	10.9	10459	499.6	14220	73.7	14080	14.1	11220	291.8
12143	10.8	10454	470.1	14206	70.1	14034	13.6	11205	231.4
12009	10.7	10451	451.9	14218	65.5	14081	12.7	11234	214.0
12207	10.4	10455	447.0	14127	63.9	14203	11.7	11219	193.2
12186	8.5	10469	352.6	14043	62.6	14111	9.4	11238	164.4
12159	7.9	10462	339.3	14226	61.8	14025	7.7	11218	163.2
12084	4.1	10474	275.3	14210	56.3	14033	7.0	11224	161.2
12193	3.5	10475	181.8	14216	53.9	14170	5.6	11230	143.8
12183	3.3	10463	175.2	14223	51.7	14139	5.4	11223	136.0
12059	3.2	10465	102.7	14227	50.2	14030	5.1	11204	126.3
12023	3.1	10461	86.2	14217	49.3	14055	4.8	11214	115.2
12067	2.6	10470	42.7	14072	48.6	14102	4.6	11229	113.0
12469	1.3	10471	39.2	14051	43.5	14091	4.2	11232	112.7
12046	1.1	10464	5.5	14052	40.0	14026	2.5	11235	83.4
12147	0.8			14209	38.9	14069	1.9	11239	66.2

ZIP code level Adolescent Sexual Health Needs Index (ASHNI) Attachment 9

ZIP	ASHNI
Kings	
11209	65.4
11215	62.2
11222	50.7
11201	49.6
11217	49.1
11231	48.3
11228	48.0
Monroe	
14621	443.5
14605	372.8
14611	308.2
14609	221.6
14608	188.0
14619	183.4
14606	135.0
14623	129.7
14613	123.9
14580	114.9
14624	112.5
14420	100.7
14612	99.9
14626	87.0
14450	84.9
14616	82.1
14534	61.1
14468	58.6
14617	53.4
14620	52.8
14615	52.5

ZIP	ASHNI
Monroe	
14618	48.3
14559	46.5
14526	44.5
14445	33.1
14467	31.2
14622	28.7
14464	27.4
14514	25.7
14586	24.0
14625	22.6
14428	21.3
14610	19.7
14472	18.8
14546	14.6
14607	13.0
14543	9.5
14614	9.4
14604	5.9
14506	3.0
Nassau	
11550	341.5
11520	126.7
11003	97.0
11575	94.5
11553	88.5
11590	78.3
11580	55.3
11758	52.8
11756	49.3

ZIP	ASHNI
Nassau	
11510	42.2
11554	38.4
11801	37.9
11040	34.0
11561	32.1
11552	32.0
11710	30.4
11542	29.7
11572	29.5
11566	29.5
11793	27.0
11001	25.6
11570	24.8
11096	24.5
11010	23.0
11050	22.7
11714	22.3
11530	22.1
11803	21.1
11563	20.5
11762	20.4
11581	19.5
11783	19.2
11791	18.1
11501	15.7
11702	13.7
11030	11.3
11021	10.7
11548	10.6

ZIP	ASHNI
Nassau	
11598	10.6
11545	10.0
11568	9.7
11518	9.7
11771	9.0
11024	8.9
11558	8.6
11576	8.6
11577	8.5
11596	8.3
11559	7.8
11753	7.8
11557	7.3
11565	7.2
11797	6.3
11709	6.3
11023	6.3
11507	6.1
11560	5.5
11516	5.1
11514	4.4
11579	3.7
11020	3.4
11804	3.4
11732	2.2
11509	1.7
11765	0.4

ZIP	ASHNI
New York	
10029	647.0
10031	539.0
10027	487.5
10032	477.9
10035	371.0
10033	347.1
10026	317.7
10030	316.1
10039	302.2
10040	289.4
10034	263.5
10002	214.2
10037	138.3
10025	135.8
10009	86.1
10003	71.3
10038	48.5
10023	34.0
10001	32.9
10013	32.8
10128	31.1
10024	29.8
10021	28.5
10044	23.7
10016	22.2
10011	21.6
10028	16.8
10019	16.5
10010	14.4
10012	12.9
10014	9.9

ZIP code level Adolescent Sexual Health Needs Index (ASHNI) Attachment 9

ZIP	ASHNI
New York	
10036	8.3
10022	6.2
10018	5.8
10007	4.6
10280	3.1
10017	2.6
10004	0.6
10006	0.5
10005	0.2
Niagara	
14094	159.9
14120	120.0
14305	109.7
14304	88.4
14301	60.6
14092	29.4
14303	28.3
14132	19.6
14131	18.1
14108	17.8
14067	17.8
14174	14.6
14105	14.0
14172	9.6
14012	9.2
14008	6.7
14028	6.1

ZIP	ASHNI
Oneida	
13501	172.9
13440	159.9
13502	138.6
13323	55.4
13413	35.6
13492	34.4
13316	29.0
13403	28.8
13309	25.1
13308	18.1
13438	17.8
13456	17.1
13471	16.7
13480	16.3
13478	12.4
13354	11.9
13476	11.4
13424	10.9
13042	10.9
13461	10.3
13363	9.9
13318	9.0
13425	8.9
13417	7.7
13495	7.4
13054	6.4
13304	6.4
13477	6.1
13328	5.7
13303	4.8

ZIP	ASHNI
Oneida	
13490	4.7
13319	2.5
13486	2.4
13469	2.0
13483	1.1
Onondaga	
13205	194.6
13210	192.3
13204	150.4
13207	99.9
13090	90.6
13027	85.2
13208	79.4
13202	65.4
13212	64.1
13203	55.8
13088	54.9
13039	50.9
13224	47.7
13206	47.4
13057	45.5
13214	44.0
13209	40.8
13031	39.6
13219	38.9
13215	38.6
13041	35.3
13104	33.6
13066	27.4
13211	24.6

ZIP	ASHNI
Onondaga	
13078	23.2
13152	21.1
13029	18.8
13108	17.7
13159	16.5
13084	15.9
13080	14.0
13120	11.4
13116	9.6
13060	9.4
13110	7.0
13063	6.9
13112	5.2
13164	4.7
Orange	
12550	248.8
10940	148.3
10950	134.5
12553	57.0
10990	41.6
12771	39.8
10941	37.4
12586	32.9
10924	26.2
10918	25.0
10992	24.7
12549	23.4
10930	17.4
10996	15.6
12543	13.3

ZIP	ASHNI
Orange	
12518	11.5
10928	11.5
10963	11.5
10925	10.9
10998	10.0
10916	9.8
10921	9.1
10958	7.7
10926	6.9
12729	6.2
12575	5.9
12780	5.4
12520	5.2
10973	5.1
10987	3.8
12577	3.7
10969	3.3
12746	3.0
10917	2.2
10919	1.3
10975	0.6

ZIP code level Adolescent Sexual Health Needs Index (ASHNI) Attachment 9

ZIP	ASHNI
Queens	
11368	503.1
11434	473.3
11691	347.6
11433	321.8
11412	304.8
11413	286.5
11385	279.4
11369	218.6
11429	215.6
11420	208.1
11373	207.7
11422	199.8
11435	191.0
11436	178.7
11372	177.1
11377	175.4
11419	168.2
11432	159.3
11692	137.2
11411	132.5
11355	127.3
11421	125.8
11423	115.5
11418	107.2
11370	93.4
11101	87.1
11416	86.5
11354	84.3
11428	73.5

ZIP	ASHNI
Queens	
11106	73.3
11417	72.5
11102	66.7
11367	66.4
11378	61.0
11365	60.7
11103	59.5
11427	59.0
11105	51.7
11375	51.7
11358	51.4
11379	46.1
11357	44.0
11356	43.6
11374	42.2
11693	42.1
11364	39.7
11104	39.4
11414	37.1
11361	34.2
11426	32.4
11415	27.0
11694	22.5
11366	18.2
11362	18.0
11360	15.2
11004	15.1
11363	7.2
11697	4.1
11005	0.2

ZIP	ASHNI
Richmond	
10304	159.3
10314	149.2
10303	128.8
10301	119.5
10312	102.6
10306	96.0
10305	87.8
10310	73.5
10302	63.7
10309	59.4
10308	48.3
10307	24.8
Suffolk	
11717	251.9
11706	172.0
11722	133.4
11798	128.6
11746	92.3
11701	85.8
11757	80.5
11704	79.6
11772	69.7
11779	59.8
11901	57.0
11967	56.9
11763	55.9
11735	50.1
11729	48.5
11726	48.1
11784	47.1

ZIP	ASHNI
Suffolk	
11720	44.5
11727	43.8
11950	42.7
11741	42.0
11743	41.2
11787	39.8
11790	39.8
11795	38.7
11776	35.5
11731	33.8
11725	33.4
11951	31.8
11738	30.1
11713	26.7
11754	23.6
11968	23.6
11730	23.5
11751	22.9
11703	22.8
11733	22.5
11742	20.8
11778	20.7
11782	20.5
11949	20.1
11768	20.0
11937	19.8
11953	19.1
11961	18.5
11752	17.5
11788	17.5
11764	17.4

ZIP	ASHNI
Suffolk	
11767	17.3
11780	17.2
11747	16.9
11946	15.9
11716	15.8
11755	15.3
11766	14.5
11769	13.4
11740	12.2
11933	12.2
11792	11.8
11934	11.4
11705	11.1
11789	10.5
11963	8.5
11777	8.3
11786	7.9
11944	7.4
11940	7.2
11954	7.2
11942	6.6
11978	6.3
11971	6.0
11715	5.9
11980	5.7
11941	5.4
11952	5.2
11721	5.0
11796	4.9
11935	4.5
11719	3.7

ZIP code level Adolescent Sexual Health Needs Index (ASHNI) Attachment 9

ZIP	ASHNI
Suffolk	
11977	3.1
11718	3.0
11724	2.8
11976	2.0
11964	1.5
11955	1.5
11958	1.2
11939	0.9
11948	0.8
11957	0.7
11965	0.6
06390	0.3
11770	0.2
Westchester	
14513	35.6
14519	26.2
14522	19.9
14589	19.7
14502	19.4
14489	19.4
14551	17.3
14505	14.2
14590	13.3
14433	13.1
14568	11.8
13143	11.0
13146	6.8
14516	6.5
14555	2.6

ZIP	ASHNI
Westchester	
10701	314.5
10550	277.3
10705	169.7
10801	133.8
10553	102.9
10573	81.6
10566	74.0
10703	63.7
10562	58.8
10598	43.4
10591	43.4
10805	41.5
10704	41.4
10710	40.4
10606	40.0
10583	39.4
10567	36.9
10603	34.6
10552	34.1
10543	31.8
10708	28.4
10604	26.6
10549	25.3
10601	24.5
10605	23.9
10522	20.7
10523	19.2
10570	18.8
10580	18.8
10528	17.4
10536	17.3

ZIP	ASHNI
Westchester	
10538	17.2
10804	17.0
10547	16.0
10803	15.3
10607	14.6
10520	14.0
10507	13.8
10514	13.3
10510	13.2
10707	13.2
10577	11.6
10595	11.1
10532	11.0
10530	10.8
10594	10.8
10504	10.2
10706	10.1
10709	9.1
10533	8.6
10590	8.1
10502	8.1
10548	6.7
10560	6.3
10589	6.1
10506	6.0
10576	4.4
10588	3.8
10511	3.6
10526	2.3
10527	1.5

ZIP	ASHNI
Westchester	
10546	1.1
10501	0.9
10518	0.8

Attachment 10

Resources on Screening of Mentors:

1. US DOE Guide to Screening and Background Checks: http://educationnorthwest.org/webfm_send/182

2. National Mentoring Partnership: http://apps.mentoring.org/safetynet

3. CDC Guide to Preventing Child Sexual Abuse: http://www.cdc.gov/ViolencePrevention/pub/PreventingChildAbuse.html

Attachment 11

Mentoring Models and Design Considerations

Traditional Mentoring Model

The traditional mentoring model pairs one adult with one young person. Mentors serve as role models, providing their mentees with an experienced friend who provides guidance to and teaches the child while expanding the child's viewpoint. The goal of this relationship is for the adult to help shape the youth's future for the better by empowering the child to achieve. Several different approaches can be used to facilitate the creation of traditional mentoring relationships:

- Agency-facilitated Mentors

Under this model, a community-based organization assumes responsibility for recruiting, matching, orienting and supporting youth and adults who will participate in the mentoring program.

- School-based Teacher Mentors

Teachers may become nurturing, informal mentors by virtue of the nature of their positions and interactions with youth within the school environment (e.g., athletic coaches, drama teachers, etc.). This mentoring model formalizes this approach by matching youth with teachers and other adult school-based personnel with skills and experience working with youth who work in the schools they attend. The model promotes the pairing of these professional adults as mentors to youth in the school setting, the environment where youth spend much of their time. The mentoring can occur before, during and after the school day.

- Neighborhood (or Natural) Mentors

This program model, also called "natural mentors," enables youth to self-select and negotiate a mentoring relationship from among adults who they admire in their daily lives. The National Guard Youth Challenge Program web site provides guidance to youth for self-selecting an adult mentor from among family members, family friends, neighbors, sports team personnel, community leaders, or personnel from school, church or faith communities, local recreation and youth programs and police and fire departments. (See http://www.ngycp.org/site/mentor for more information.)

- Service-Learning Mentors

The service-learning model enables youth to participate in a sustained community-based activity designed to bring them into contact with caring adults. The community service activities combine specific educational purposes with the aim of benefiting others. According to the National Service-Learning Clearinghouse, service learning is a "teaching and learning strategy that integrates meaningful community service with instruction and reflection to enrich the learning experience, teach civic responsibility and strengthen communities." Optimally, service-learning programs create mentor-rich environments where adults connected with a service organization or service activities interact with youth on a regular basis. Mentoring often occurs naturally, as adults work closely with and provide guidance to youth. Program staff encourages and supports both adults and youth to form mentoring relationships.

Service-learning can either be a stand-alone mentoring model or incorporated into an existing mentoring program or relationship as an adult-supervised activity. Variations on the service-based model might include a group of youth who identify and undertake a beneficial activity together under the supervision of adults or where an individual mentor and mentee work together on a service-learning endeavor.

Small Group and Team Mentoring

Small group mentoring pairs one adult with as many as four young people. Team mentoring involves several adults working with small groups of young people where the adult-to-youth ratio is not greater than one to four. Group mentoring is more complex than one-to-one mentoring because it entails the multiple interactions. When skillfully managed, the group interactions are a productive part of the mentoring experience. Team mentoring can make it possible for adults who are unable to commit to a fixed schedule to serve as mentors. However, care must be taken to avoid superficial relationships when mentors are not regularly present.

Note: On-line or e-mentoring and peer mentoring are not allowable options for this initiative.

Mentoring Program Design

Attachment 10 presents an informational overview of traditional one-on-one, group, and team mentoring from the publication "How to Build A Successful Mentoring Program Using the *Elements of Effective Practice for Mentoring* TM" developed by MENTOR (see http://www.mentoring.org/downloads/mentoring_413.pdf). This document also includes comprehensive guidelines for designing and planning, managing, operating and evaluating mentoring programs. Note: E-mentoring and peer monitoring models, which are included in this summary, are not eligible for funding through this RFA.

The *Elements of Effective Practice for Mentoring*TM, also developed by MENTOR, describes six components, based on quality mentoring research policies and practices that should be included when planning and designing an effective mentoring program. These elements include mentor and mentee recruitment, mentor screening, mentor training, matching, monitoring and support, and closure (see http://www.mentoring.org/downloads/mentoring_1222.pdf or Attachment 11).

Longevity of Mentoring Relationships

Longer term mentoring relationships of a year or more are associated with higher benefits to youth than shorter-term relationships; therefore, mentors recruited through this program should be asked to make at least a year-long commitment. Consequently, it is critical that caution be exercised when selecting, screening, training, and monitoring mentors. Studies have shown that youth who are left by their mentor within a short period of time fare worse than those who were never matched with mentors (Grossman, J. B., & Rhodes, J. E. (2002). The test of time: Predictors and effects of duration in youth mentoring relationships. *American Journal of Community Psychology, 30*(2), 199–219.).

College students may present a challenge as potential long-term mentors because their ability to commit to a consistent mentoring relationship may be adversely affected by such factors as academic and vacation schedules, lack of availability, and their own developmental stages. However, they can play an important supporting role in a mentoring program by providing mentored youth with a first-hand view of the college experience, academic assistance and/or service opportunities.

<u>Mentor Stipends or Vendor Discounts</u>

Many mentoring programs rely on volunteer mentors who assume all the costs associated with this role. Assisting with these costs may be a helpful incentive in recruiting and maintaining mentors. Therefore, projects have the option of reimbursing mentors for reasonable receipted costs incurred for the <u>mentored youth</u> during mentoring activities. Projects, which opt for this alternative, should develop guidelines and reimbursement policies and limits for selected activities. In addition, as part of community engagement activities, the sponsoring organization can request free or discounted passes or tickets to a variety of activities including athletic or cultural events, movie theatres, youth sports facilities, or restaurants for use by mentors.

Attachment 12

INFORMATIONAL OVERVIEW OF TYPES OF MENTORING PROGRAMS

Source: Adapted from *Mentoring School Age Children* (1999) by Public/Private Ventures and MENTOR/National Mentoring Partnership, *Understanding Mentoring Relationships* (1992) by the Search Institute, *Elements of Effective Practice*, second edition (2003), MENTOR/National Mentoring Partnership, and The Connecticut Mentoring Partnership, *Business Guide to Youth Mentoring*.

	TRADITIONAL ONE-TO-ONE	**TEAM MENTORING**	**GROUP MENTORING**
DESCRIPTION	One adult to one young person.	Several adults working with small groups of young people, in which the adult-to-youth ratio is not greater than 1:4.	One adult to up to four young people.
WHERE MENTORING TAKES PLACE	**Agency-based:** At a community agency, typically an after-school program, Boys and Girls Club, etc. **Community-based:** The mentor and mentee can meet anywhere, including attending events, going to museums, etc. This is typical of the Big Brothers Big Sisters model. **Faith-based:** Mentoring pairs usually meet in a house of worship or adjoining building. (Please see Attachment 8. **Online:** E-mentoring—also known as online mentoring, telementoring, or teletutoring—is a mentoring relationship that is conducted via the Internet. **School-based:** At the mentee's school (elementary, middle, high school), on school grounds, in full view of school officials. Mentors and mentees should have a designated meeting place within the building and/or use of school facilities (open classroom, computer lab, gym, art room, library) if available. **Workplace-based:** At the mentor's workplace. Students are typically bussed to the site. Either the school district or the company may pay for the bus. Mentors and mentees should have a designated meeting place	**Agency-based:** At a community agency, typically an after-school program, Boys and Girls Club, etc. **Community-based:** The mentors and mentees can meet anywhere, attend events, go to museums, etc. This is typical of the Big Brothers Big Sisters model. **Faith-based:** Mentoring teams usually meet in a house of worship or adjoining building. **Online:** E-mentoring—also known as online mentoring, telementoring, or teletutoring—is a mentoring relationship that is conducted via the Internet. **School-based:** At the mentees' school (elementary, middle, high school), on school grounds, in full view of school officials. Mentors and mentees should have a designated meeting place within the building and/or use of school facilities (open classroom, computer lab, gym, art room, library) if available. **Workplace-based:** At the mentors' workplace. Students are typically bussed to the site.	**Agency-based:** At a community agency, typically an after-school program, Boys and Girls Club, etc. **Community-based:** The mentor and mentees can meet anywhere, attend events, go to museums, etc. **Faith-based**: Mentoring groups usually meet in a house of worship or adjoining building. **Online**: E-mentoring—also known as online mentoring, telementoring, or teletutoring—is a mentoring relationship that is conducted via the Internet. **School-based**: At the mentees' school (elementary, middle, high school), on school grounds, in full view of school officials. Mentor and mentees should have a designated meeting place within the building and/or use of school facilities

	TRADITIONAL ONE-TO-ONE	TEAM MENTORING	GROUP MENTORING
	at the workplace.		
WHERE MENTORING TAKES PLACE (CONT.)		Either the school district or the company may pay for the bus. Mentors and mentees should have a designated meeting place at the workplace.	(open classroom, computer lab, gym, art room, library) if available. **Workplace-based***:* At the mentors' workplace. Students are typically bussed to the site. Either the school district or the company may pay for the bus. Mentors and mentees should have a designated meeting place at the workplace.
SELECTION OF MENTEES	School/agency or mentoring program personnel determine criteria for selecting youth to participate in the program. Criteria should be aligned with goals of the program (e.g., if a goal is to improve academics, selected students would have reading or other academic difficulties). However, it is important to select a cross-section of youth so the program can reach a wide range of students while also reducing any perceived stigma attached to participation in the program. Referrals for youth participation should be solicited from teachers, guidance counselors, student assistance team members, youth workers, parents/guardians, etc.	School/agency or mentoring program personnel determine criteria for selecting youth to participate in the program. Criteria should be aligned with goals of the program (e.g., if a goal is to improve academics, selected students would have reading or other academic difficulties). However, it is important to select a cross-section of youth so the program can reach a wide range of students while also reducing any perceived stigma attached to participation in the program. Referrals for youth participation should be solicited from teachers, guidance counselors, student assistance team members, youth workers, parents/guardians, etc.	School/agency or mentoring program personnel determine criteria for selecting youth to participate in the program. Criteria should be aligned with goals of the program (e.g., if a goal is to improve academics, selected students would have reading or other academic difficulties). However, it is important to select a cross-section of youth so the program can reach a wide range of students while also reducing any perceived stigma attached to participation in the program. Referrals for youth participation should be solicited from teachers, guidance counselors, student assistance team members, youth workers, parents/guardians, etc.
PARENT/GUARDIAN PERMISSION	Parent/Guardian permission is required for participation in the program.	Parent/Guardian permission is required for participation in the program.	Parent/Guardian permission is required for participation in the program.

	TRADITIONAL ONE-TO-ONE	TEAM MENTORING	GROUP MENTORING
RECRUITMENT OF MENTORS	Promote the program via a marketing campaign, posters, community presentations, intranet, etc. A recruitment session is held to provide more information. Application forms and a training schedule are available at this session.	Promote the program via a marketing campaign, posters, community presentations, intranet, etc. A recruitment session is held to provide more information. Application forms and a training schedule are available at this session.	Promote the program via a marketing campaign, posters, community presentations, intranet, etc. A recruitment session is held to provide more information. Application forms and a training schedule are available at this session.
MENTOR SCREENING	All mentors must undergo a comprehensive screening process. The screening should include completion of an application, personal interview, personal and professional reference checks and criminal background checks. Other checks, such as child abuse and sexual offender registries and motor vehicle records, may also be used.	All mentors must undergo a comprehensive screening process. The screening should include completion of an application, personal interview, personal and professional reference checks and criminal background checks. Other checks, such as child abuse and sexual offender registries and motor vehicle records, may also be used.	All mentors must undergo a comprehensive screening process. The screening should include completion of an application, personal interview, personal and professional reference checks and criminal background checks. Other checks, such as of child abuse and sexual offender registries and motor vehicle records, may also be used.
MENTOR TRAINING AND SUPPORT	All mentors must complete training to prepare them to work with their mentees. Ongoing training of mentors should be provided throughout the year to assist mentors with issues and concerns that may come up throughout the course of their relationship. Supervision should occur at least monthly and support sessions should be offered every 8–10 weeks.	All mentors must complete training to prepare them to work with their mentees. Ongoing training of mentors should be provided throughout the year to assist mentors with issues and concerns that may come up throughout the course of their relationship. Supervision should occur at least monthly and support sessions should be offered every 8–10 weeks.	Same as One-to-One. Group mentors may also receive additional training related to working with students in a group and specific career-oriented content.
OVERVIEW OF PROGRAM PROCESSES	The application, screening and matching are extensive and comprehensive. Training is essential. Matching, support and supervision are essential.	The application, screening and matching are extensive and comprehensive. Training is essential.	The application, screening and matching are extensive and comprehensive. Training is essential.
Program Processes to include screening, training and ongoing support	All	All	All
MENTOR	At a minimum, mentors and mentees should meet regularly at	The relationship is long term and involves frequent contact (at	Mentor makes a long-term commitment to meet regularly

	TRADITIONAL ONE-TO-ONE	TEAM MENTORING	GROUP MENTORING
COMMITMENT	least four hours per month for at least a year. There are exceptions, such as school-based mentoring, which coincide with the school year, and other types of special mentoring initiatives. In such special circumstances, mentees need to know from the outset how long they can expect the relationship to last so they can adjust their expectations accordingly. In school programs, the mentor commits to one school year (ideally October through May). Mentors should be asked at the end of the school year if they would like to continue mentoring during the next school year. Continuity from year to year is desirable wherever possible.	least two to four hours every week).	with the group as a leader or co-leader.
NATURE OF RELATIONSHIP	Focus can be social, career, employability skills and/or academic.	Most of the interaction is guided by the session structure, which includes time for personal sharing and team activities.	Most of the interaction is guided by the session structure, which includes time for personal sharing and group activities.
MEETING TIMES	**School-based, Agency-based:** Mentors meet with mentees for one hour per week throughout the school year. Time may be set by the school/agency or be variable.	Mentors and mentees meet at a set time each week.	Mentor and mentees meet at a set time each week.

	TRADITIONAL ONE-TO-ONE	TEAM MENTORING	GROUP MENTORING
MEETING TIMES (CONT.)	**<u>Workplace-based</u>*:*** Because of bussing and other logistics, mentees will usually come all at once at a specific day and time each week. The actual mentoring period is 45 minutes to an hour. *Note: Meeting times vary according to program; some meet weekly or bi-weekly.*		
ACTIVITIES	Activities vary. Pairs do everyday things and just hang out together. ***<u>Elementary School:</u> Mentoring typically focuses on activities that promote character development, academic success and reading ability.*** ***<u>Middle School:</u> Mentoring activities continue to promote character development and academic success and begin to introduce a career development focus.*** ***<u>High School:</u> Mentoring activities continue to focus on character development and academic success and emphasize school-to-career preparation.*** ***Note: Activity books for mentors at all grade levels are available through the Mentor Consulting Group at www.mentorconsultinggroup.com.***	Mentors are encouraged to do everyday things with mentees.	Specific activities may or may not be outlined by the program. Group activities work well under this format to build a sense of community and supervise mentoring relationships. Group mentoring tends to be more formal and often involves predetermined activities in which the group participates. These activities often have a specific focus such as community service or career development.
EFFECT ON MENTOR	Mentors feel satisfaction in doing something worthwhile, having fun, and building a good friendship.	Time with children, team structure, and training are all seen as beneficial and meaningful.	Time with children, group structure, and training are all seen as beneficial and meaningful.
SITE OR COMMUNITY BASED	Both	Both	Both
STAFFING	Each program should have an assigned coordinator who conducts mentor recruitment, screening and training. He or she	Each program should have an assigned coordinator who conducts mentor recruitment, screening and training. He or she	Each program should have an assigned coordinator who conducts mentor recruitment, screening and training. He or she

	TRADITIONAL ONE-TO-ONE	**TEAM MENTORING**	**GROUP MENTORING**
STAFFING (CONT.)	provides ongoing support and supervision to mentors and mentees. Each participating school or business should have a coordinator to serve as the liaison between the school/agency and the mentors from the business. He or she also conducts the program evaluation and supports and recognizes mentors.	provides ongoing support and supervision to mentors and mentees. Each participating school or business should have a coordinator to serve as the liaison between the school/agency and the mentors from the business. He or she also conducts the program evaluation and supports and recognizes mentors.	provides ongoing support and supervision to mentors and mentees. Each participating school or business should have a coordinator to serve as the liaison between the school/agency and the mentors from the business. He or she also conducts the program evaluation and supports and recognizes mentors.

* Long-term mentor commitment = requires at least one year of commitment; Short-term mentor commitment = requires less than one year of commitment

Note: On-line e-mentoring and peer mentoring are not allowable options under this initiative.

3rd Edition

Elements *of* Effective Practice for Mentoring™

Newly revised edition, which includes
evidenced-based operational standards

MENTOR

Sponsored by
MetLife Foundation

Introduction

As a strategy for helping young people succeed in school, work and life, mentoring works. It helps give young people the confidence, resources and support they need to achieve their potential. But, the fact is this: these positive outcomes are only possible when young people are engaged in high-quality mentoring relationships.

The *Elements of Effective Practice for Mentoring* holds the key to success in producing high-quality relationships. The new edition of the *Elements* provides six evidence-based standards for practice that incorporate the latest research and best-available practice wisdom. It also reprises advice that appeared in earlier editions on program design and planning; program management; program operations; and program evaluation.

We believe adherence to the *Elements* will ensure that mentoring relationships thrive and endure. They include measures that any mentoring program in any setting can implement, as well as measures that any agency can incorporate within the mentoring element of broad-based, positive youth development programming. This means that community-based, corporate-based, school-based, faith-based and Internet-based mentoring programs can use the *Elements* to meet the specific needs of the young people they serve and the milieu in which they operate. And, it means that afterschool and other positive youth development programs which embed mentoring within their programming will find the *Elements* equally useful and adaptable.

These new guidelines are the culmination of a process that, once again, brought together the nation's foremost authorities on mentoring. The leaders are recognized in the Acknowledgments section. We thank each and every one of them for their invaluable counsel and dedication to making mentoring the kind of experience it should be for children.

For additional details about the research that underpins these guidelines or to learn more about approaches to implementing them, please visit www.mentoring.org. Finally, there will undoubtedly be a fourth edition of the *Elements*, so your feedback and suggestions are welcome. Meanwhile, we thank you for your interest and for continuing to help raise the bar as we all work to expand the world of quality mentoring.

In partnership,

Tonya T. Wiley
Chief Administrative Officer

This edition of the *Elements* is divided into two parts:

Part I: Operational Standards for Mentoring Programs *(or mentoring embedded into larger, positive youth development programming, like afterschool programs)*

Part II: Program Design and Planning, Management and Evaluation

Part I offers six evidence-based **standards** that address six critical dimensions of mentoring program operations: 1) recruitment; 2) screening; 3) training; 4) matching; 5) monitoring and support; and 6) closure. For each standard, specific **benchmarks** are advanced, along with research-based **justifications**. Together, the standards and benchmarks provide practical guidance on how best to approach the provision of high-quality mentoring in day-to-day operations — whether in a stand-alone mentoring program or a positive youth development program in which mentoring is one element. In addition, **enhancements**, based principally on the wisdom of outstanding practitioners, are offered for readers' consideration and use.

Part II provides equally practical advice regarding how to build a new mentoring program or strengthen an existing one. It focuses on program design and planning; program management; and program evaluation. The **program design and planning** section includes guidelines you can use to launch an effective new mentoring initiative. The section on **program management** focuses on what needs to be done to ensure that a mentoring program operates within a strong organizational context, no matter what the precise setting — which will continue to vary widely. The section on **program evaluation** imparts basic guidelines on how to prepare for and support this important function.

Finally, to review and adapt the operational standards and/or make use of advice regarding program planning, management, operations and evaluation, please check out two additional resources. First, meet with your local *Mentoring Partnership* (They now operate in 25 states and are one-stop sites for information about quality mentoring practice. See www.mentoring.org/find_resources/state_partnerships/ for listings.). Second, please visit www.mentoring.org, the nation's most comprehensive resource for mentors and mentoring initiatives nationwide.

Part I:

Operational Standards for Mentoring Programs

Standard 1: Recruitment

Standard: Recruit appropriate mentors and mentees by realistically describing the program's aims and expected outcomes.

Benchmarks:

Mentor Recruitment

B.1.1 Program engages in recruitment strategies that realistically portray the benefits, practices and challenges of mentoring in the program.

Mentee Recruitment

B.1.2 Program recruits youth whose needs best match the services offered by the program and helps them understand what mentoring is and what they can expect from a mentoring relationship.

Enhancements:

Mentor Recruitment

E.1.1 Program has a written statement outlining eligibility requirements for mentors in its program.

Mentee Recruitment

E.1.2 Program has a written statement outlining eligibility requirements for mentees in its program.

Justification for Recruitment Benchmarks:

Mentors' unfulfilled expectations can contribute to an earlier-than-expected ending of mentoring relationships.[1] Thus, it is important for programs to realistically describe both the rewards and challenges of mentoring when recruiting mentors. When imagined outcomes are not immediately realized or take a different form than what was originally expected, mentors may decide that the relationship does not meet their needs, and, consequently, they may end the match prematurely. Thus, when recruiting potential mentors, it is important to set realistic expectations regarding a mentoring relationship and what it can achieve. Practically speaking, one way to set realistic expectations for a prospective mentor is to provide him or her with written eligibility requirements.

Also, mentees frequently report not knowing what to expect from a mentoring program and/or in a mentoring relationship.[1] Therefore, when mentees are recruited for participation in a mentoring program, it is important to provide them with information about what mentoring is and how it can be helpful to them. Program staff should also inquire about prospective mentees' expectations about being mentored and about the mentoring program. In this way, program staff can help prospective mentees develop both positive and realistic expectations.

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Standard 2: Screening

Standard: Screen prospective mentors to determine whether they have the time, commitment and personal qualities to be an effective mentor.

Benchmarks:

Mentor Screening

B.2.1 Mentor completes an application.

B.2.2 Mentor agrees to a one (calendar or school) year minimum commitment for the mentoring relationship.

B.2.3 Mentor agrees to participate in face-to-face meetings with his or her mentee that average one time per week and one hour per meeting over the course of a calendar or school year.*

*This benchmark may be addressed differently as long as there is evidence to support that the variation is associated with positive outcomes for mentees (e.g., combining in-person meetings with online communication or telephone calls; meeting almost exclusively online; meeting less frequently than once a week, with each meeting lasting for more than an hour, on average). As a general rule, programs should aim to either meet this benchmark or provide a clear rationale for doing otherwise. (See justification for additional comments on this topic.)

B.2.4 Program conducts at least one face-to-face interview with mentor.

B.2.5 Program conducts a reference check (personal and/or professional) on mentor.

B.2.6 Program conducts a comprehensive criminal background check on adult mentor, including searching a national criminal records database along with sex offender and child abuse registries.

Mentee Screening

B.2.7 Parent(s)/guardian(s) complete an application and provide informed consent for their child to participate.

B.2.8 Parent(s)/guardian(s) and mentee agree to a one (calendar or school) year minimum commitment for the mentoring relationship.

B.2.9 Parents(s)/guardian(s) and mentee agree that the mentee will participate in face-to-face meetings with his or her mentor a minimum of one time per week, on average, for a minimum of one hour per meeting, on average.

Enhancements:

E.2.1 Program utilizes national, fingerprint-based FBI criminal background checks (e.g., the SafetyNET system operating under the auspices of the Child Protection Improvements Act, in cooperation with the National Center for Missing & Exploited Children).

E.2.2 School-based programs assess mentor's interest in maintaining contact with mentee during the summer months following the close of the school year and offer assistance with maintaining contact.

Justification for Screening Benchmarks:

Screening practices, including face-to-face interviews with prospective mentors, as well as reference and background checks, are recommended as a guideline across a wide range of mentoring programs.[1,2] Reference checks are also essential for assessing the suitability of the prospective mentor for a mentoring relationship. More specifically, criminal background checks are a necessary component of screening prospective mentors and must be conducted before initiating any contact between the mentor and the mentee. The check provides a concrete method for mentoring programs to enhance the likelihood that the mentee will be protected and safe with his or her mentor.

Analyses indicate that it is important to gain access to records from national and not just state registries because criminals move, and one state registry alone may not provide a complete picture of an individual's criminal history. The SafetyNET criminal background check system employs a fingerprint-based system that relies on nationwide records available through the FBI. Findings indicate that SafetyNET provides the best available protection against those who may have a record of serious crimes against children in one state and then apply to be a mentor in another state.[3]

Mentor and Mentee Commitment

Longer-term mentoring relationships are associated with more benefits to youth than shorter-term relationships. Evidence for the importance of relationship duration has emerged from studies of community- and school-based models of volunteer youth mentoring.[4,5,6,7,8] For example, adolescents who participated in a relationship that lasted at least 12 months had more positive benefits as compared to youth in relationships that lasted fewer than 12 months.[4] In addition, prematurely ending a match may result in negative child outcomes.[4, 9] Taken together, these studies establish the importance of mentoring relationships lasting for at least one academic or calendar year. What may eventually emerge as the dominant influence on effects related to program duration is whether relationships are continued for the full duration of the established expectations, even if these are for a shorter period of time than one calendar year.[10] However, the current evidence suggests that longer is better and that programs that last less than one year generally produce less potent outcomes.

In addition to relationship length, the frequency of contact between mentor and mentee has also been linked to positive youth outcomes. Frequent, regular contact provides more opportunities to develop a close relationship by engaging in shared activities and providing ongoing social and emotional support.[7,11,12]

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Standard 3: Training

Standard: Train prospective mentors in the basic knowledge and skills needed to build an effective mentoring relationship.

Benchmarks:

Mentor Training

B.3.1 Program provides a minimum of two hours of pre-match, in-person training.

B.3.2 Mentor training includes the following topics, at a minimum:
a. Program rules;
b. Mentors' goals and expectations for the mentor/mentee relationship;
c. Mentors' obligations and appropriate roles;
d. Relationship development and maintenance;
e. Ethical issues that may arise related to the mentoring relationship;
f. Effective closure of the mentoring relationship; and
g. Sources of assistance available to support mentors.

Enhancements:

Mentor Training

E.3.1 Program uses evidence-based training materials.

E.3.2 Program provides additional pre-match training opportunities beyond the two-hour, in-person minimum.

E.3.3 Program addresses the following developmental topics in the training:
a. Youth development process;
b. Cultural, gender and economic issues; and
c. Opportunities and challenges associated with mentoring specific populations of children (e.g., children of prisoners, youth involved in the juvenile justice system, youth in foster care, high school dropouts), if relevant.

E.3.4 Program uses training to continue to screen mentors for suitability and develops techniques for early trouble-shooting should problems be identified.

Mentee Training

E.3.5 Program provides training for the mentee and his or her parent(s)/guardian(s) (when appropriate) on the following topics:
a. Program guidelines;
b. Mentors' obligations and appropriate roles;
c. Mentees' obligations and appropriate roles; and
d. Parental/guardian involvement guidelines.

Justification for Training Benchmarks:

Mentor Training

Mentor training is a vital component of any successful mentoring program.[1] Mentor training is particularly important because it has documented implications for mentors' perceptions about the mentor-mentee relationship, including their feelings of closeness, support, satisfaction and effectiveness as a mentor.[2,3,4] Further, these perceptions of the mentor-mentee relationship are thought to influence the positive outcomes and continuation of the mentor-mentee relationship, suggesting the lasting importance of mentor training for youth outcomes.[4]

Length of Mentor Training

According to recent research, community- and school-based mentors in Big Brothers Big Sisters of America programs who attended fewer than two hours of pre-match training reported less positive feelings of closeness and support about the relationship with their mentee, spent less time with their mentee and were less likely to continue their relationship into a second year than mentors who received more training.[3]

Content of Mentor Training

Mentors and mentees may experience difficulties when their motivations and goals for the mentoring relationship do not match. Mentors' motivations are especially influential in the early stages of the mentoring relationship.[5,6] Mentors' motivations also influence whether they obtain information about mentoring prior to the match, plan for future activities with their mentee and form expectations about the mentoring relationship.[7] And, mentors who report a discrepancy between their initial expectations of their relationship with their mentee and their actual post-match experiences with their mentee are less likely to report an intention to stay in the mentoring relationship.[8,9] Consequently, training should include a focus on mentor motivations, as well as on helping mentors to identify their goals, modify unrealistic expectations and plan to compare their goals with their mentees' goals to identify and address discrepancies between the two.

Given that having realistic expectations is associated with relationship longevity, training should address the needs of special populations of mentored youth, such as the children of prisoners, children in foster care, children in the juvenile justice system, children who have dropped out of school and immigrant children.[8,9] For example, immigrant youth face unique challenges, including stress related to discrimination, poverty and separation from family members.[10] Training for mentors of immigrant youth should raise volunteers' awareness of these challenges, as well as heighten their cultural sensitivity. In addition, training should stress the negative outcomes associated with early termination, as research suggests that the termination of a mentoring relationship may be particularly destructive for immigrant youth, especially if they have already experienced the loss of family members during the process of migration.[11]

In another example of a special population, children of incarcerated parents struggle with issues of trust and social stigma.[12] These children often believe that no one trusts them because of their parents' criminal history and have trust issues themselves due to their unstable family situation.[12] Training for mentors of this population should emphasize building trust, for example, by being consistent and following through with plans. Mentors of children of prisoners should also be aware of the possibility that their mentees may feel embarrassed about their parent's incarceration, and they should be equipped with the skills necessary to respond effectively in the event that these feelings are disclosed.[12]

Finally, long-term positive mentoring relationships develop through demonstrating positive relationship behaviors such as authenticity, empathy, collaboration and companionship.[9] Training should also focus on developing and sustaining these relationship-enhancing behaviors. Further, training on how to foster a developmental (i.e., cooperative, mentor-driven relationship designed to meet the needs of the mentee) versus prescriptive (i.e., mentor as authority figure) mentoring relationship is recommended.[13]

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Standard 4: Matching

Standard: Match mentors and mentees along dimensions likely to increase the odds that mentoring relationships will endure.

Benchmarks:

B.4.1 Program considers its aims, as well as the characteristics of the mentor and mentee (e.g., interests, proximity, availability, age, gender, race, ethnicity, personality and expressed preferences of mentor and mentee) when making matches.

B.4.2 Program arranges and documents an initial meeting between the mentor and mentee.

Enhancements:

E.4.1 Program staff member should be on site and/or present during the initial meeting of the mentor and mentee.

Justification for Matching Benchmarks:

Matching mentors and mentees based on similarities such as age, gender, race and ethnicity, as well as mutual interests, is frequently recommended. However, research comparing cross-race and same-race matches has found few, if any, differences in the development of relationship quality or in positive outcomes — suggesting that matching on race may not be a critical dimension of a successful mentoring relationship.[1,2] Thus, although the research is not yet conclusive, it has been suggested that matching based on qualities such as the mentor's skills and common interests with the youth should take precedence over matching based on race.[3]

In addition, it has been suggested that a mentor's interpersonal skills be considered during the matching process.[4] For example, one specific interpersonal skill that has been studied in recent research, known as attunement, is defined as a mentor's ability to identify and solve relationship barriers. Research has found that the strongest mentor-mentee relationships are with mentors who were either highly or moderately attuned, which suggests that a mentor's ability to tune in to others should be considered in making a match.

Once matched, mentoring best practices suggest that mentors and mentees should have a formal, initial meeting documented by the mentoring program.[5]

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Standard 5: Monitoring and Support

Standard: Monitor mentoring relationship milestones and support mentors with ongoing advice, problem-solving support and training opportunities for the duration of the relationship.

Benchmarks:

B.5.1 Program contacts the mentor and mentee at a minimum frequency of twice per month for the first month of the match and monthly thereafter.

B.5.2 Program documents information about each mentor-mentee contact, including, at minimum, date, length and nature of contact.

B.5.3 Program provides mentors with access to at least two types of resources (e.g., expert advice from program staff or others; publications; Web-based resources; experienced mentors; available social service referrals) to help mentors negotiate challenges in the mentoring relationships as they arise.

B.5.4 Program follows evidenced-based protocol to elicit more in-depth assessment from the mentor and mentee about the relationship and uses scientifically-tested relationship assessment tools.

B.5.5 Program provides one or more opportunities per year for post-match mentor training.

Enhancements:

E.5.1 Program has quarterly contact with a key person in the mentee's life (e.g., parent, guardian or teacher) for the duration of the match.

E.5.2 Program hosts one or more group activities for mentors and their mentees, and/or offers information about activities that mentors and mentees might wish to participate in together.

E.5.3 Program thanks mentors and recognizes their contributions at some point during each year of the relationship, prior to match closure.

Justification for Monitoring and Support Benchmarks:

Practices Designed to Provide Monitoring and Support

Matches that are monitored and supported are more satisfying and successful, which, in turn, leads to more positive youth outcomes.[1,2,3,4] Continued monitoring of the relationship should especially focus on the development of close relationships, as youth who perceive more trusting, mutual and empathic relations with their mentors experience greater improvements than youth who perceive lower levels of these relationship qualities.[5] Mentoring programs that provide monthly calendars of low-cost events, offer tickets to events or provide opportunities to participate in structured activities are associated with positive outcomes.[6]

Assessment of Mentor/Mentee Relationship

Assessing the quality of each mentoring relationship from the perspective of both the mentor and mentee can yield valuable information for supporting individual matches.[7,8] Many surveys have been developed for this purpose, but only a small number are evidence-based and have been rigorously evaluated for reliability and validity.[7] Programs could benefit by seeking out and using scientifically-validated surveys when assessing mentoring relationship qualities.

Advanced Mentor Training for Ongoing Support

After the mentor and youth have begun their relationship, mentors can benefit from additional training on topics such as increasing multicultural understanding, particularly regarding issues of race and class differences.[9] This type of training would provide mentors with the opportunity to identify and discuss possible cultural differences they and their mentee may encounter, which could help to prevent potential misunderstandings in the future.

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Standard 6: Closure

Standard: Facilitate bringing the match to closure in a way that affirms the contributions of both the mentor and the mentee and offers both individuals the opportunity to assess the experience.

Benchmarks:

B.6.1 Program has procedure to manage anticipated closures, including a system for a mentor or mentee rematch.

B.6.2 Program has procedure to manage unanticipated match closures, including a system for a mentor or mentee rematch.

B.6.3 Program conducts and documents an exit interview with mentor and mentee.

Enhancements:

E.6.1 Program explores opportunity to continue the mentor/mentee match for a second (or subsequent) year.

E.6.2 Program has a written statement outlining terms of match closure and policies for mentor/mentee contact after a match ends.

E.6.3 Program hosts a final celebration meeting or event with the mentor and mentee to mark progress and transition.

Justification for Closure Benchmarks:

Prevention of Premature Closure

Research findings suggest that matches that end prematurely can result in negative outcomes for mentees such as increases in problem behaviors.[1] Thus, standards regarding closure are designed to prevent potentially avoidable, premature closures.

Reasons for Closure

Mentoring relationships can end for a wide range of reasons that are both predictable (e.g., conclusion of academic year program) and unpredictable (e.g., moving, illness). Also, closure may occur as a result of interpersonal or practical challenges that result in the mentor losing interest or motivation to sustain the mentoring relationship (e.g., mentee having no phone, failure of the mentee to attend scheduled meetings, failure to discuss personal issues).[1]

Closure Procedures

Regardless of why the mentoring relationship is ending, programs should always assist the mentor in trying to end the relationship on a positive note for everyone involved.[2] Program staff should provide pre- and post-match training to prepare mentors and mentees for anticipating the end of the relationship, as well as for how to end the mentoring relationship in a positive way.[3] Mentors and mentees should discuss memories of fun times they have had together and participate in a special activity for their last meeting.[4] A best practice guideline is to hold a graduation night, which allows mentees to have a sense of closure with both the mentor and the program.[2] Also, recognition of the specific contributions of mentors and mentees is recommended.[5]

An exit interview with the mentor and mentee can help the program determine whether there are any additional resources or supports that the program could provide that would allow the match to continue. Interviewing the mentor and mentee at the end of the relationship allows them to reflect on the positive experiences they shared and the impact that they had on each other. It also provides the mentoring program with an opportunity to assess how well it adhered to its own standards.

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Part II:

Program Design and Planning, Management, Operations and Evaluation

(**Source:** *Elements of Effective Practice*™, 2nd Edition, 2003)

Program Design and Planning

Design the parameters for the program:

- Define the youth population that the program will serve;
- Identify the types of individuals who will be recruited as mentors (such as senior citizens, corporate employees and college students);
- Determine the type of mentoring that the program will offer — one-to-one, group, team, peer or e-mentoring;
- Structure the mentoring program — as a stand-alone program or as part of an existing organization;
- Define the nature of the mentoring sessions (such as career involvement, academic support and socialization);
- Determine what the program will accomplish and what outcomes will result for the participants, including mentors, mentees and sponsoring organizations;
- Determine when the mentoring will take place;
- Determine how often mentors and mentees will meet and how long the mentoring matches should endure;
- Decide where mentoring matches primarily will meet — workplace, school, faith-based organization, juvenile corrections facility, community setting or virtual community;
- Decide who are program stakeholders and how to promote the program;

- Decide how to evaluate program success; and
- Establish case management protocol to assure that the program has regular contact with both mentors and mentees concerning their relationship.

Plan how the program will be managed:

- Select the management team:
  - Establish policies and procedures; and
  - Implement ongoing staff training and professional development.
- Develop a financial plan:
  - Develop a program budget;
  - Determine the amount of funding needed to start and sustain the program;
  - Identify and secure a diversified funding stream needed to start and sustain the program;
  - Determine the amount of time each funding source can be expected to provide resources;
  - Establish internal controls and auditing requirements; and
  - Establish a system for managing program finances.
- Implement the program:
  - Recruit program participants, such as mentors, mentees and other volunteers;
  - Screen potential mentors and mentees;
  - Orient and train mentors, mentees and parents/caregivers;
  - Match mentors and mentees;
  - Bring mentors and mentees together for mentoring sessions that fall within program parameters;
  - Provide ongoing support, supervision and monitoring of mentoring relationships;
  - Recognize the contribution of all program participants; and
  - Help mentors and mentees reach closure.
- Plan how to evaluate the program:
  - Decide on the evaluation design;
  - Determine what data will be collected, how it will be collected and the sources of data;
  - Determine the effectiveness of the program process;
  - Determine the outcomes for mentors and mentees; and
  - Reflect on and disseminate findings.

Program Management

Ensure the program is well-managed:

- Form an advisory group:
  - Define the advisory group roles and responsibilities;
  - Recruit people with diverse backgrounds to serve on the group; and
  - Facilitate the advisory group meetings to improve programming and management.

- Develop a comprehensive system for managing program information:
  - Manage program finances;
  - Maintain personnel records;
  - Track program activity, such as volunteer hours and matches;
  - Document mentor/mentee matches;
  - Manage risk; and
  - Document program evaluation efforts.

- Design a resource development plan that allows for diversified fundraising:
  - Seek in-kind gifts;
  - Hold special events;
  - Solicit individual donors;
  - Seek corporate donations;
  - Apply for government funding; and
  - Seek foundation grants.

- Design a system to monitor the program:
  - Review policies, procedures and operations on a regular basis;
  - Collect program information from mentors, mentees and other participants; and
  - Continually assess customer service.

- Create a professional staff development plan:
  - Provide ongoing staff training; and
  - Build on staff members' skills and knowledge.

- Advocate for mentoring:
  - Advocate for pro-mentoring, public policies and funding at the local, state and federal levels; and
  - Encourage private sector leaders to adopt pro-mentoring policies and provide funding.

- Establish a public relations/communications effort:
  - Identify target markets;
  - Develop a marketing plan;
  - Gather feedback from all constituents;
  - Develop partnerships and collaborations with other organizations; and
  - Recognize mentors, mentees, other program participants, funders and organizations that sponsor mentoring programs.

Program Operations

Ensure strong, everyday operations:

- Recruit mentors, mentees and other volunteers:
  - Define eligibility for participants, including mentors, mentees and parents/caregivers;
  - Market the program; and
  - Conduct awareness and information sessions for potential mentors.

- Screen potential mentors and mentees:
  - Require written applications;
  - Conduct reference checks, such as employment record, character reference, child abuse registry, driving record and criminal record checks;
  - Conduct face-to-face interviews; and
  - Hold orientations.

- Orient and train mentors, mentees and parents/caregivers:
  - Provide an overview of the program;
  - Clarify roles, responsibilities and expectations; and
  - Discuss how to handle a variety of situations.

- Match mentors and mentees:
  - Use established criteria;
  - Arrange an introduction between mentors and mentees; and
  - Ensure mentors, mentees and parents/caregivers understand and agree to the terms and conditions of program participation.

- Bring mentors and mentees together for mentoring sessions that fall within the program parameters:
  - Provide safe locations and circumstances; and
  - Provide resources and materials for activities.

- Provide ongoing support, supervision and monitoring of mentoring relationships:
  - Offer continuing training opportunities for program participants;
  - Communicate regularly with program participants and offer support;
  - Help mentors and mentees define next steps for achieving mentee goals;
  - Bring mentors together to share ideas and support;
  - Establish a process to manage grievances, resolve issues and offer positive feedback;
  - Assist mentors and mentees whose relationship is not working out; and
  - Ensure that appropriate documentation is done on a regular basis.

- Recognize the contribution of all program participants:
  - Sponsor recognition events;
  - Make the community aware of the contributions made by mentors, mentees, supporters and funders;
  - Actively solicit feedback from mentors and mentees regarding their experiences; and
  - Use information to refine program and retain mentors.

- Help mentors and mentees reach closure:
  - Conduct private, confidential interviews with mentors and mentees; and
  - Ensure mentors, mentees and parents/caregivers understand program policy regarding their meeting outside the program.

Program Evaluation

Ensure program quality and effectiveness:

- Develop a plan to measure program process:
  - Select indicators of program implementation viability and volunteer fidelity, such as training hours, meeting frequency and relationship duration; and
  - Develop a system for collecting and managing specified data.

- Develop a plan to measure expected outcomes:
  - Specify expected outcomes;
  - Select appropriate instruments to measure outcomes, such as questionnaires, surveys and interviews; and
  - Select and implement an evaluation design.

- Create a process to reflect on and disseminate evaluation findings:
  - Refine the program design and operations based on the findings; and
  - Develop and deliver reports to program constituents, funders and the media (at minimum yearly; optimally, each quarter).

For additional details about the research that underpins these guidelines and to learn more about the approaches to executing them, visit www.mentoring.org.

Glossary of Terms:

Responsible mentoring:

- Is a structured, one-to-one relationship or partnership that focuses on the needs of mentored participants.
- Fosters caring and supportive relationships.
- Encourages individuals to develop to their fullest potential.
- Helps an individual to develop his or her own vision for the future.
- Is a strategy to develop active community partnerships.

Types of Mentoring: Responsible mentoring can take many forms: traditional mentoring (one adult to one young person); group mentoring (one adult to up to four young people); team mentoring (several adults working with small groups of young people, in which the adult-to-youth ratio is not greater than 1:4); peer mentoring (caring youth mentoring other youth); and e-mentoring (mentoring via e-mail and the Internet).

Locations of Mentoring: Mentoring can take place in a wide array of settings, such as at a workplace, in a school, at a faith-based organization, at a juvenile corrections facility, in a community setting and in the virtual community, where e-mentoring takes place.

Source: Rhodes, J.E. (2002). *Stand by me: The risks and rewards of mentoring today's youth.* Cambridge, MA: Harvard University Press.

Acknowledgments

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Department of Agriculture
- Cooperative State Research, Education and Extension Service

Department of Defense
- National Guard Bureau
- Office of Military Community & Family Policy

Department of Education
- Safe and Drug Free Schools

Department of Health and Human Services
- Assistant Secretary for Planning and Evaluation
- Family and Youth Services Bureau
- Substance Abuse and Mental Health Association
- Children's Bureau

Department of Justice
- Office of Juvenile Justice and Delinquency Prevention

Department of Labor
- Employment & Training Administration
- Office of Disability Employment Policy

Office of National Drug Control Policy

National Mentoring Working Group of the Federal Mentoring Council

Afterschool Alliance
Amachi
Amelior Foundation
America's Promise Alliance
Big Brothers Big Sisters of America
Boisi Family Foundation
Boy Scouts of America
Boys and Girls Clubs of America
Camp Fire USA
Catholic Big Brothers
Communities In Schools, Inc.
Corporation for National and Community Service
Dare Mighty Things
Educate Tomorrow
Evaluation, Management & Training Associates
Ewing Kauffman Foundation
Friends of the Children
Goodwill Industries
Harvard Mentoring Project
iMentor
Kids Hope USA
MENTOR
Michigan Community Service Commission
National 4-H Council
National Alliance of Faith and Justice
National Coalition for Youth
National Human Services Assembly
National Network of Youth Ministries
Northwest Regional Educational Laboratory
Orphan Foundation of America
Phoenix House of New York
Points of Light/Hands on Network
Public/Private Ventures
Redwood Community Action Agency
Retired OPM
Special Olympics (e-Buddies)
United Way of America
Youth Build
YouthFriends
YouthToday

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Attachment 14

Resources on Mentoring and Service-Learning

http://www.mentoring.org

MENTOR: The National Mentoring Partnership (MENTOR) is a leading supporter of youth mentoring in the United States. MENTOR develops resources for mentoring programs and promotes quality mentoring through standards, cutting-edge research and state of the art tools.

http://www.mentoring.org/program_resources/elements_and_toolkits

This website provides rigorous, research-based guidelines for mentoring service providers developed by MENTOR including the *Elements of Effective Practice for Mentoring*™ and a companion publication entitled "How to Build a Successful Mentoring Program Using the *Elements of Effective Practice for Mentoring*™."

http://mentoring.org/find_resources/elements_of_effective_practice/trainers_manual/

The *Community Mentoring for Adolescent Development* (CMAD) manual, originally developed by Baylor University to train college students to mentor young adolescents, has been revised and updated by MENTOR. The manual provides extensive content for preparing mentors to work with adolescents and older preteens as well as training information for mentors.

http://www.nyc.gov/html/acs/html/become_mentor/best_practices_addition.shtml

The NYC Administration for Children's Services has developed *Best Practice Guidelines for Foster Care Youth Mentoring* as an addendum to complement the *Elements of Effective Practice for Mentoring*™ . This document presents a "best practice" policy for mentoring programs specifically serving foster care youth, highlighting the differences and unique qualities of mentoring programs that serves youth in foster care and provides guidelines for program operation.

http://www.mentoring.org/program_resources/library

This website offers access to a variety of mentoring resources and information for mentoring programs, mentors and mentees.

http://mentoring.org/find_resources/afterschool_clearinghouse/

The After School Clearinghouse provides tools and resources to add a mentoring component to an after school program.

http://www.bbbs.org/site/c.9iILI3NGKhK6F/b.5962335/k.BE16/Home.htm

Big Brothers Big Sisters of America offers information on one-to-one mentoring and documented research demonstrating the positive impact of this program.

http://www.ngycp.org/site/mentor

The National Guard Youth Challenge Program provides guidance to youth for self-selecting a mentor from among adults known through the family, family friends, neighbors, sports team personnel, community leaders, school, church or faith communities, local recreation and youth programs and police and fire departments.

Play, Talk, Learn: Promising Practices in Youth Mentoring. *New Directions for Youth Development*, 126 (Summer 2010).

This special issue includes ten studies of community- and school-based mentoring that explore how specific aspects of the mentoring program structure and relationship impact mentoring outcomes.

Youth Mentoring in Perspective (Special Issue). *American Journal of Community Psychology,* 30(2) (April 2002).

This special issue includes eight articles, which discuss different models of mentoring and their effectiveness. Articles of particular interest include:

> Grossman, J. B., and Rhodes, J. E. The test of time: Predictors and effects of duration in youth mentoring relationships, 199–219.
>
> Zimmerman MA, et al. Natural mentors and adolescent resiliency: a study with urban youth, 221-43.

Service-learning

http://www.learnandserve.org/

Learn and Serve America funds service-learning programs that enable schools and community groups to combine community service activities with educational, civic, or leadership objectives. The site provides information on effective models and research studies on service-learning.

http://www.servicelearning.org/

This site, which is sponsored by Learn and Serve America, serves as a clearinghouse for resources on service learning. The website contains information and resources to support service-learning programs.

http://www.nylc.org/

The National Youth Leadership Council is an organization that promotes service-learning as a teaching method that engages students in meaningful service to their schools and communities.

http://www.civicyouth.org/

The Center for Information and Research on Civic Learning and Engagement (CIRCLE) presents research and technical assistance to organizations related to the civic and political engagement of young Americans.

http://www.theinnovationcenter.org/

The Innovation Center for Community Youth and Development seeks new ways to strengthen the field of youth development, including the use of service-learning to enhance the well-being of local communities. The Center offers consulting, training and tools to help organizations of all sizes integrate youth adult partnership into their work.

http://www.augsburg.edu/cdc/publicachievement/

Public Achievement is a youth civic engagement initiative focused on the concepts of citizenship, democracy and public work.

Internal Resources for Use in Completing the Application

Special Populations

Foster Care

http://www.scaany.org/resources/documents/risking_their_future_report_000.pdf

Risking the Future, a publication of the Schuyler Center for Analysis and Advocacy, discusses the challenges facing foster care youth and the impact these challenges pose to their sexual behavior.

http://www.nfpainc.org/

The National Foster Parent Association supports foster parents in achieving safety, permanence and well-being for the children and youth in their care.

Youth with Disabilities

http://www.unicef.org/videoaudio/PDFs/UNICEF_Violence_Against_Disabled_Children_Report_Distributed_Version.pdf

UNICEF prepared this summary report on what is know about violence toward children with disabilities at home, in schools, in institutions, in the criminal justice system, within the broader community and at work (child labor situations), as well as recommendations for abuse prevention.

Components 1B and 2

Adult-Supervised Activities

Grossman JB, Bulle MJ. (2006). Review of what youth programs do to increase the connectedness of youth with adults. *Journal of Adolescent Health.* 39(6):788-99.

http://www.fns.usda.gov/tn/Resources/cnak_2Youth.pdf

These hands-on activities are designed by Team Nutrition, an initiative of the United States Department of Agriculture Food and Nutrition Service, to help children eat healthier, lower fat diets.

http://www.lpfch.org/afterschool/ppvreport.pdf

Putting It All Together: Guiding Principles for Quality After-School Programs Serving Preteens, commissioned by the Lucile Packard Foundation for Children's Health, identifies six guiding principles of quality after-school programs that are linked to positive outcomes for preteens.

http://www.lpfch.org/afterschool/resourceguide.html

This online resource guide to *Putting It All Together: Guiding Principles for Quality After-School Programs Serving Preteens* provides a description and some examples of successful implementation of each of the six principles, and a list of resources about the relevant research and ways to improve in each area.

Counseling

http://www.paho.org/english/ad/fch/ca/sa-youth.pdf

Youth-Centered Counseling for HIV/STI Prevention and Promotion of Sexual and Reproductive Health: A Guide for Front-line Providers, a publication of the Pan American Health Organization/World Health Organization, provides information on the youth-centered counseling model.

Attachment 16

Parenting Education Resources

Research and Evidence-based Programs

http://whatworks.uwex.edu/attachment/Directoryofeb.pdf
The *What Works, Wisconsin* Evidence-based Parenting Program Directory, compiled by Stephen A. Small and Rebecca Mather, provides an overview of parenting programs for parents and families. Some of these programs specifically target parents of preteen youth.

http://www.hsph.harvard.edu/chc/parenting/report.pdf
Raising Teens: A Synthesis of Research and a Foundation for Action, published by the Harvard School of Public Health Center for Health Communication, discusses research findings on the parenting of adolescents that can be conveyed to parents and caregivers. The report cites five basic parenting strategies derived from the research findings.

http://www.extension.iastate.edu/sfp/
The evidence-based *Strengthening Families Program: For Parents and Youth 10-14* is a parent, youth, and family skills-building curriculum designed to strengthen parenting skills, build family strengths, and prevent teen substance abuse and other behavior problems.

http://familyworksinc.com/about/index.html
Parenting Wisely is an evidence-based parenting skills education program designed to teach parents skills needed for the healthy well-balanced raising of children. The program, which is available in CD-ROM, DVD, VHS, or online formats, is interactive and includes in-depth tutorials.

http://www.parenting.cit.cornell.edu/

The Parenting in Context Initiative, a program of the Cornell University School of Human Ecology, provides research-based resources on parenting education; develops new curricula and enhances existing programs with research-based information and provides training and tools that can be used to evaluate parenting programs. This web site also includes a listing of New York State Parenting Education Programs.

Research Briefs

Cornell Cooperative Extension creates research briefs, which are intended primarily as a guide for parent educators and other professionals working with parents including the following three documents:

http://www.parenting.cit.cornell.edu/documents/Parenting%20and%20Adolescent%20Development%20Final.pdf
What's New: Parenting and Adolescent Development, written by Kimberly Kopko and Rachel Dunifon, provides an overview of the current research on strategies to parent adolescents.

http://www.parenting.cit.cornell.edu/documents/Effective%20Parent%20Education%20Programs.pdf

Effective Parent Education Programs, written by Laura Colosi and Rachel Dunifon, provides a summary of features of effective parenting programs and a description of criteria used to determine the effectiveness of such programs.
http://www.parenting.cit.cornell.edu/documents/Parenting%20Styles%20and%20Adolescents.pdf
Parenting Styles and Adolescence, written by Kimberly Kopko, provides an overview of research on parenting styles and their impact on adolescent development.

http://www.childtrends.org/Files//Child_Trends-2009_11_11_RB_Parents&TeenSex.pdf

Parents Matter: The Role of Parents in Teens' Decisions about Sex, written by Erum Ikramullah and colleagues, is a Child Trends Research Brief, which identifies multiple measures of parental involvement and engagement that are associated with delayed sex among adolescents.

Other Resources
http://shouldertoshoulderminnesota.org

Shoulder to Shoulder, a project of the Minnesota Institute of Public Health, provides information about positive parenting for parents and caregivers of teens to increase their comfort and confidence levels in raising their children. The web site provides practical, evidence-based information and tools to support parents and caregivers.
http://www.extension.umn.edu/FamiliesWithTeens/informationseries.html#skills
The University of Minnesota Families with Teens website offers online resources for families with teens related to developing parenting skills, building the parent-teen relationship, dealing with difficult issues, and preparing for the future.

Attachment 17

Applicant Checklist
Successfully Transitioning Youth to Adolescence

- o **Grant Application Cover Page**
- o **Statement of Assurances**
- o **Project Summary**
- o **Organizational Experience and Capacity**
- o **Community Needs and Resources Assessment**
- o **Proposed Activities**
- o **Work Plan**
- o **Budget and Staffing Plan**
- o **Letter of Intent**
- o **Letters of Commitment**
- o **Vendor Responsibility Questionnaire and/or Attestation**
- o **Organizational Chart**

Attachment 18

NEW YORK STATE DEPARTMENT OF HEALTH
SUCCESSSFULLY TRANSITIONING YOUTH TO ADULTHOOD
GRANT APPLICATION COVER PAGE

APPLICANT INFORMATION

Applicant Organization/Agency Name: ____

Address: ____

City______________________ State ___________________ ZIP code___________________

County: ____

Federal Employers ID #: ________________Charities ID# (if applicable)_______________

DUNS #:

____

Type of Eligible Organization: ____

Name of Contact Person: (please circle) Dr. / Mr. /Mrs. /Ms. _________________________

Title: ____

Address: ____

City ______________________ State ___________________ ZIP code _________________

Telephone: (____)____________ Fax: (____)_____________ E-mail : __________________

ZIP codes to be targeted for services: ____

____

Amount of funding requested: ____

Amount of matching funds to be provided by applicant organization: __________________

Appendix D Program Work Plan

Successfully Transitioning Youth to Adolescence Attachment 19
Work Plan Implementation Worksheet
Contract Year ________________

Applicant Name: ________________________

GOAL 1 A: Provide individual, small group, and/or team mentoring and counseling for preteen youth.

OBJECTIVE	SPECIFIC ACTIVITIES	TIME FRAME	PERSON RESPONSIBLE	EVALUATION METHOD (PROCESS)	EVALUATION METHOD (OUTCOME)
	Total Unduplicated Youth to be Served Through this Goal:_____			Individual projects will be expected to submit their process and outcomes evaluation(s) to the NYS DOH during the contract implementation process.	Individual projects will be expected to submit their process and outcomes evaluation(s) to the NYS DOH during the contract implementation process.

Applicant Name: ________________________

GOAL 1 B: Provide or expand adult-supervised activities that create educational, recreational, or vocational opportunities for preteen youth.

OBJECTIVE	SPECIFIC ACTIVITIES	TIME FRAME	PERSON RESPONSIBLE	EVALUATION METHOD (PROCESS)	EVALUATION METHOD (OUTCOME)
	Total Unduplicated Youth to be Served Through this Goal:______			Individual projects will be expected to submit their process and outcomes evaluation(s) to the NYS DOH during the contract implementation process.	Individual projects will be expected to submit their process and outcomes evaluation(s) to the NYS DOH during the contract implementation process.

Applicant Name: ________________________

GOAL 2: Provide adult-led group sessions designed to encourage in-depth discussion of topics of concern among preteen youth.

OBJECTIVE	SPECIFIC ACTIVITIES	TIME FRAME	PERSON RESPONSIBLE	EVALUATION METHOD (PROCESS)	EVALUATION METHOD (OUTCOME)
	Total # of Sessions to be Held Through This Goal: ______ Total Unduplicated Youth to be Served Through this Goal:_____			Individual projects will be expected to submit their process and outcomes evaluation(s) to the NYS DOH during the contract implementation process.	Individual projects will be expected to submit their process and outcomes evaluation(s) to the NYS DOH during the contract implementation process.

Applicant Name: ________________________

GOAL 3: Provide parenting education to the parents, guardians, and other adult caregivers of preteen youth.

OBJECTIVE	SPECIFIC ACTIVITIES	TIME FRAME	PERSON RESPONSIBLE	EVALUATION METHOD (PROCESS)	EVALUATION METHOD (OUTCOME)
	Total Unduplicated parents to be reached through this goal: ______ Total unduplicated youth (if applicable) to be reached through this goal: ______			Individual projects will be expected to submit their process and outcomes evaluation(s) to the NYS DOH during the contract implementation process.	Individual projects will be expected to submit their process and outcomes evaluation(s) to the NYS DOH during the contract implementation process.

Attachment 20

Successfully Transitioning Youth to Adolescence
Instructions for Completing Operating Budget and Funding Request

General Information

All expenses for your project must be in line item detail on the forms provided. NYS funded administrative costs should not be greater than 10% cost allocation of your budget and must be identified and shown in line item detail, not as a percentage of total costs and directly related to project activities. **Indirect costs applied as a percentage may not be charged to NYS.**

Budget Instructions

The budget should reflect all costs and funding for the Successfully Transitioning Youth to Adolescence (STYA) program from all sources, including in-kind contributions and other grants.

TABLE A: Summary Budget Request

This table should be completed last and will include the subtotal lines only from Tables A-1 and A-2.

Total, Personal Services (line 1): Enter appropriate amounts from the detailed personal services budget page.

Total, Non Personal Services (NPS) (line 2): Enter appropriate amounts from the detailed non-personal services budget page.

Grand Total (line 3): Reflect the totals of Line 1 and Line 2 above.

Amount Requested from NYS (column 2): Funds requested from the state for this grant.

Other Sources of Funds (column 3): All funds and resources the applicant will be providing to support STYA activities.

TABLE A-1: Operating Budget and Funding Request (Personal Services)

Personnel, with the exception of consultants and per diems, who contribute any part of their time to STYA should be included.

- In the top row of the heading, fill in the applicant name.
- In Column 1, enter **all** job titles connected with administration or service provision for STYA. Include all titles, regardless of funding source.

- In column 2, enter the annual (12 month) salary rate for each position, which will be filled for all or any part of the budget period. Regardless of the amount of time spent on this project, the total annual salary for each position should be given for the number of months applicable to that salary. **For example, if a union negotiated salary increase will impact a portion of the 12 month budget period it should be shown on Table A-1 as follows (the same position will use two lines in the budget):**

Title (Column 1)	Annual Salary (Column 2)	X	# Months (Column 4)	X	%FTE (Column 3)	=	Total Amount Required (Column 5)
Health Educator	$30,000		9		100%		$22,500
Health Educator	$35,000		3		100%		$8,750

- In column 4, show the number of months out of 12 worked for each title. (If an employee works 9 months out of 12, then 9 months/12 month =.75. This ratio is part of the Total Expense calculation below.)

- In column 3, indicate the proportion of time spent on the STYA project based on a full time equivalent (FTE). One FTE is based on the number of hours worked in one week by salaried employees (e.g. 40 hour work week). To obtain % FTE, divide the hours per week spent on the project by the number of hours in a work week. For example, an individual working 10 hours per week on STYA, given a 40 hour work week, would be a .25 FTE (10/40=.25).

- In column 5, enter the total amount required for each position using the following formula:

Annual Salary (Column 2)	X	Number of Months/12 (Column 4)	X	%FTE (Column 3)	=	Total Expense (Column 5)

- In column 6, enter the amount of funding requested from the State.

- In column 7, enter the amount of other sources of funding for each position. This includes both "in kind" contributions and funds from all other sources.

- In column 8, identify the sources of funding in column 7.

- The sum of columns 6 and 7 must equal the amount in column 5.

- **Fringe Benefits** – Insert the Agency-Wide Fringe Benefit rate (from Form B-2) in space provided. Multiply this rate by the sub-total Personal Service for each column.

- TOTAL PS: In the total Personal Services row, add vertically to obtain totals for each column.

TABLE A-2: Operating Budget and Funding Request (Non Personal Services)

All NPS expenses for the STYA program should be listed regardless of whether or not funding for these expenses is requested from New York State.

- In the top row of the heading, fill in the applicant name.

- In the column 1, enter **all non personal service line items** connected with STYA. Include all items, regardless of funding source. Some examples of non-personal service items include (but are not limited to): Individual Subcontractors, Audit, Payroll Processing, Per Diem Staff, Equipment, Office Supplies, Program Supplies, Food/Refreshments, Staff Development Trainings, Participant Travel, Staff Travel, Advertising, Maintenance and Operations, and Media Development. Each line item must be easily identifiable; “Other” and “Misc” are not allowable line items.

Note: The budget should contain a travel line item for staff travel to Albany for a two-day providers’ meeting. The costs of travel, overnight lodging and meals other than lunch should be included. Costs should be allocated in accordance with New York State Office of the State Comptroller guidelines. These limitations, including the current available rates, may be found by accessing the following web site: http://osc.state.ny.us/agencies/travel/travel.htm

- In column 2, indicate the total expenses for each line item.

- In column 3, enter the amount of funding requested from the State.

- In column 4, enter the amount of other sources of funds funding for each NPS item. This includes both “in kind” contributions and funds from all other sources.

- In column 5, specify the source of funding indicted in column 4.

BUDGET NARRATIVE/JUSTIFICATION FORMS

Use the Budget Narrative/Justification Forms to provide a justification/explanation for all the NPS expenses included in the Operating Budget and Funding Request. The justification must show all items of expense and the associated cost that comprise the total expense for each budget item(e.g. if your total travel cost is $1,000, show how that amount was determined-client transportation costs, local staff travel etc.) and, if appropriate, an explanation of how these expenses relate to the goals and objectives of the STYA program. All expenses must be justified, regardless of whether or not NYS funding is requested.

FORM B-1: Personal Services Detail
Include the title, name of incumbent, and a description of each personal service item included on Budget Table A-1. Indicate if the position is currently vacant.

FORM B-2: Fringe Benefit Detail

Specify the components (FICA, Health and Life Insurance, Unemployment Insurance, Disability Insurance, Worker's Compensation, and Retirement) and their percentages comprising the fringe benefit rate. Next, total the percentages to show the fringe benefit rate used in budget calculations. Form B-2 already lists the standard components of a fringe benefit rate that are allowable under this contract. The fringe benefit rate used should be your agency-wide rate.

FORM B-3: Non Personal Services Detail

This page is to be used for detailed cost breakdowns of all NPS items. Please provide a narrative/justification for the total expense of each listed item. Also, itemize and include a breakdown of cost per item/service for each total expense.

Examples of detail to provide are:

Contractual – Provide a justification of why each service listed is needed. Justification should include the name of the consultant/contractor, the specific service to be provided and the time frame for delivery of services. Number of hours and rate of pay must be included for contractual staff. **You must c**omplete the enclosed Compressed Sub Contractor Budget and Compressed Sub Contractor Budget Justification Attachment for each STYA subcontractor. This information is to be summarized on the lead agency's budget Table A-2 as a single line item.

Equipment – Delineate each piece of equipment and estimated cost along with a justification of need. Equipment is defined as any item with a cost of $300 or more with a life expectancy of at least two years. Specify which staff will use the equipment.

Supplies/Materials – Provide justification of need and a breakdown for all items. (e.g. if your total expense is for education materials or office supplies, in addition to providing a narrative justification of need, provide a breakdown of each item as total # x cost per item = total expense for that item.)

Conference Attendance – Provide a delineation of the items of expense and estimated cost. Include travel costs associated with conferences, including transportation, meals, lodging, and registration fees, along with a justification of need. (e.g. if your total expense is for a conference, provide location and name of conference, # of people attending, cost breakdown per person, per item expense – train ticket, lodging, food etc.)

Travel - Provide a delineation of expenses and justification of need for travel for direct patient services (i.e. agency cars, tokens, taxi, etc.), or staff travel exclusive of training/ staff development (i.e., to clinic sites, agency staff travel to meetings).

Communications – Provide delineation by category (i.e. telephone, postage, and advertising) including a justification of need and the methodology used to determine the expense.

Maintenance and Operations - Occupancy costs must include square foot value of space and total square footage along with methodology used to determine expense.

Media Development /Disbursement - Provide a delineation of the items of expense associated with the development, printing and disbursement of educational and media campaign supplies and materials. Include a justification of need.

FORM B-4: DETAIL OF CONTRACTOR FUNDS SUPPORTING INITIATIVE

Provide detail of all 3rd Party and Other Source Funds reported on Budget Table A - A-2. An In-kind donation is a contribution of time, service, or goods provided by your organization to support the operations or services of your STYA program. Other sources may include other grants or cash donations. You must list all other-sources of income, and specify whether funds are state, local, or federal. **Please remember, there is a required 43% match that must consist of In-Kind and/or other local funds. Federal or State funds cannot be used for the match.**

APPLICANT:________________

Attachment 21

Table A

SUCCESSFULLY TRANSITIONING YOUTH TO ADULTHOOD

OPERATING BUDGET AND FUNDING REQUEST

Contract Period:

	Column 1	Column 2	Column 3	
	Total Expense	Amount Requested from NYS	Other Source	Specify Other Source
Total Personal Services	$0.00	$0.00	$0.00	See Table A-1
Total Non Personal Services	$0.00	$0.00	$0.00	See Table A-2
GRAND TOTAL	$0.00	$0.00	$0.00	

Federal funds are being used to partially support this contract. Catalog of Federal Domestic Assistance (CFDA) number for these funds is: 93.235. Percentage of Federal Funds is 100%.

APPLICANT:_______________

Attachment 21

Table A-1

SUCCESSFULLY TRANSITIONING YOUTH TO ADULTHOOD

OPERATING BUDGET AND FUNDING REQUEST (PERSONAL SERVICES)

Contract Period:

PERSONAL SERVICES

Column 1	Column 2	Column 3	Column 4	Column 5	Column 6	Column 7	Column 8
Title	**Annual Salary**	**% FTE**	**# of Mos.**	**Total Expense**	**Amount Requested from NYS**	**Other Source**	**Specify Other Source**
(List Personnel Budgeted)							
Sub-Total Personnel Services				0.00	0.00	0.00	
Fringe Benefits* _____ %				0.00			
Total Personal Services				$0.00	$0.00	$0.00	

* If more than one fringe benefit is used, use an average fringe rate for the calculation on this form.

APPLICANT:________________

Attachment 21
Table A-2
SUCCESSFULLY TRANSITIONING YOUTH TO ADULTHOOD
OPERATING BUDGET AND FUNDING REQUEST (NON PERSONAL SERVICES)
Contract Period:

NON PERSONAL SERVICES

Column 1 Title	Column 2 Total Expense	Column 3 Amount Requested from NYS	Column 4 Other Source	Column 5 Specify Other Source
(List Budgeted Expenses)				
Total Non Personal Services	$0.00	$0.00	$0.00	

Attachment 21
SUCCESSFULLY TRANSITIONING YOUTH TO ADULTHOOD
BUDGET NARRATIVE/JUSTIFICATION ATTACHMENT
FORM B-1
PERSONAL SERVICES DETAIL
Contract Period:

APPLICANT:________________

PERSONAL SERVICE

Title	Incumbent	Description of Duties

Attachment 21

SUCCESSFULLY TRANSITIONING YOUTH TO ADULTHOOD

BUDGET NARRATIVE/JUSTIFICATION ATTACHMENT

FORM B-2

FRINGE BENEFITS DETAIL

Contract Period:

APPLICANT:________________

FRINGE BENEFITS

Component	Rate (%)
FICA/Medicare	
Health Insurance	
Life Insurance	
Unemployment Insurance	
Disability Insurance	
Worker's Compensation	
Pension/Retirement	
Total Fringe Benefit Rate*	**0.00%**

*This amount must equal the percentage used in budget calculations.

Attachment 21
SUCCESSFULLY TRANSITIONING YOUTH TO ADULTHOOD
BUDGET NARRATIVE/JUSTIFICATION ATTACHMENT
FORM B-3
NON PERSONAL SERVICES DETAIL
Contract Period:

APPLICANT:________________

NON PERSONAL SERVICES (NPS)

Item	Cost	Description

Attachment 21

SUCCESSFULLY TRANSITIONING YOUTH TO ADULTHOOD

BUDGET NARRATIVE/JUSTIFICATION ATTACHMENT

FORM B-4

Detail of Contractor Funds Supporting Initiative

Contract Period:

APPLICANT:________________

Source of Funds	Amount
In-kind contributions, e.g. rent, utilities	
Other sources, please specify source(s)	
Total	

Attachment 21

SUCCESSFULLY TRANSITIONING YOUTH TO ADULTHOOD

Compressed Sub Contractor Budget

Contract Period:

APPLICANT:________________

SubContractor: _______________________

Personal Services	Annual Salary Rate	# Mos	% Time	Total Expense	Other Sources of Funds	Amount Requested from NYS
Subtotal(PS)				**0.00**	**0.00**	**0.00**
FRINGE				0.00		
Total Personal Service				***0.00***	***0.00***	***0.00***
Nonpersonal Services (NPS)						
Subtotal, NPS				**0.00**	**0.00**	**0.00**
Grand Total				**0.00**	**0.00**	**0.00**

Attachment 21
SUCCESSFULLY TRANSITIONING YOUTH TO ADULTHOOD
Compressed Sub Contractor Budget
Contract Period:
APPLICANT:________________

SubContractor: _______________________

PERSONAL SERVICES

Title	Incumbent	Description

NONPERSONAL SERVICES

Item	Total Expense	Description
Subtotal, NPS		

FRINGE BENEFITS

Component	Rate
FICA	
Health/Life Insurance	
Unemployment Insurance	
Disability Insurance	
Worker's Compensation	
Retirement	
TOTAL FRINGE BENEFIT	0.00%

*This amount must equal the percentage used in budget calculations.

GRANT CONTRACT (MULTI YEAR)

STATE AGENCY (Name and Address):

CONTRACTOR (Name and Address):

FEDERAL TAX IDENTIFICATION NUMBER:

MUNICIPALITY NO. (if applicable):

CHARITIES REGISTRATION NUMBER:
__ __ - __ __ - __ __ or ( ) EXEMPT:
(If EXEMPT, indicate basis for exemption):

CONTRACTOR HAS( ) HAS NOT( ) TIMELY FILED WITH THE ATTORNEY GENERAL'S CHARITIES BUREAU ALL REQUIRED PERIODIC OR ANNUAL WRITTEN REPORTS.

CONTRACTOR IS( ) IS NOT( ) A SECTARIAN ENTITY
CONTRACTOR IS( ) IS NOT( ) A NOT-FOR-PROFIT ORGANIZATION

NYS COMPTROLLER'S NUMBER: ______

ORIGINATING AGENCY CODE:

TYPE OF PROGRAM(S)

INITIAL CONTRACT PERIOD

FROM:

TO:

FUNDING AMOUNT FOR INITIAL PERIOD:

MULTI-YEAR TERM (if applicable):
FROM:
TO:

APPENDICES ATTACHED AND PART OF THIS AGREEMENT

_____	APPENDIX A	Standard clauses as required by the Attorney General for all State contracts.
_____	APPENDIX A-1	Agency-Specific Clauses (Rev 10/08)
_____	APPENDIX B	Budget
_____	APPENDIX C	Payment and Reporting Schedule
_____	APPENDIX D	Program Workplan
_____	APPENDIX G	Notices
_____	APPENDIX X	Modification Agreement Form (to accompany modified appendices for changes in term or consideration on an existing period or for renewal periods)

OTHER APPENDICES

_____	APPENDIX A-2	Program-Specific Clauses
_____	APPENDIX E-1	Proof of Workers' Compensation Coverage
_____	APPENDIX E-2	Proof of Disability Insurance Coverage
_____	APPENDIX H	Federal Health Insurance Portability and Accountability Act Business Associate Agreement
_____	APPENDIX ___	______________________________
_____	APPENDIX ___	______________________________

IN WITNESS THEREOF, the parties hereto have executed or approved this AGREEMENT on the dates below their signatures.

________________________________	________________________________
	Contract No. ______________________
________________________________	________________________________
CONTRACTOR	STATE AGENCY
________________________________	________________________________
By: ______________________________ (Print Name)	By: ______________________________ (Print Name)
________________________________	________________________________
Title: _____________________________	Title: _____________________________
Date: _____________________________	Date: _____________________________
	State Agency Certification: "In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract."
________________________________	________________________________

STATE OF NEW YORK)
) SS:
County of ____________)

On the ___ day of ___________ in the year ______ before me, the undersigned, personally appeared ____________________________________, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is(are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their/ capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

____
(Signature and office of the individual taking acknowledgement)

ATTORNEY GENERAL'S SIGNATURE	STATE COMPTROLLER'S SIGNATURE
________________________________	________________________________
Title: _____________________________	Title: _____________________________
Date: _____________________________	Date: _____________________________

STATE OF NEW YORK

AGREEMENT

This AGREEMENT is hereby made by and between the State of New York agency (STATE) and the public or private agency (CONTRACTOR) identified on the face page hereof.

WITNESSETH:

WHEREAS, the STATE has the authority to regulate and provide funding for the establishment and operation of program services and desires to contract with skilled parties possessing the necessary resources to provide such services; and

WHEREAS, the CONTRACTOR is ready, willing and able to provide such program services and possesses or can make available all necessary qualified personnel, licenses, facilities and expertise to perform or have performed the services required pursuant to the terms of this AGREEMENT;

NOW THEREFORE, in consideration of the promises, responsibilities and covenants herein, the STATE and the CONTRACTOR agree as follows:

I. Conditions of Agreement

A. The period of this AGREEMENT shall be as specified on the face page hereof. Should funding become unavailable, this AGREEMENT may be suspended until funding becomes available. In such event the STATE shall notify the CONTRACTOR immediately of learning of such unavailability of funds, however, any such suspension shall not be deemed to extend the term of this AGREEMENT beyond the end date specified on the face page hereof.

B. Funding for the entire contract period shall not exceed the amount specified as “Funding Amount for Initial Period” on the face page hereof.

C. This AGREEMENT incorporates the face pages attached and all of the marked appendices identified on the face page hereof.

D. To modify the AGREEMENT, the parties shall revise or complete the appropriate appendix form(s). Any change in the amount of consideration to be paid, change in scope, or change in the term, is subject to the approval of the Office of the State Comptroller. Any other modifications shall be processed in accordance with agency guidelines as stated in Appendix A-1.

E. The CONTRACTOR shall perform all services to the satisfaction of the STATE. The CONTRACTOR shall provide services and meet the program objectives summarized in the Program Workplan (Appendix D) in accordance with: provisions of the AGREEMENT; relevant laws, rules and regulations, administrative and fiscal guidelines; and where applicable, operating certificates for facilities or licenses for an activity or program.

F. If the CONTRACTOR enters into subcontracts for the performance of work pursuant to this AGREEMENT, the CONTRACTOR shall take full responsibility for the acts and omissions of its subcontractors. Nothing in the subcontract shall impair the rights of the STATE under this AGREEMENT. No contractual relationship shall be deemed to exist between the subcontractor and the STATE.

G. Appendix A (Standard Clauses as required by the Attorney General for all State contracts) takes precedence over all other parts of the AGREEMENT.

II. Payment and Reporting

A. The CONTRACTOR, to be eligible for payment, shall submit to the STATE's designated payment office (identified in Appendix C) any appropriate documentation as required by the Payment and Reporting Schedule (Appendix C) and by agency fiscal guidelines, in a manner acceptable to the STATE.

B. The STATE shall make payments and any reconciliations in accordance with the Payment and Reporting Schedule (Appendix C). The STATE shall pay the CONTRACTOR, in consideration of contract services for a given PERIOD, a sum not to exceed the amount noted on the face page hereof or in the respective Appendix designating the payment amount for that given PERIOD. This sum shall not duplicate reimbursement from other sources for CONTRACTOR costs and services provided pursuant to this AGREEMENT.

C. The CONTRACTOR shall meet the audit requirements specified by the STATE.

D. The CONTRACTOR shall provide complete and accurate billing vouchers to the Agency's designated payment office in order to receive payment. Billing vouchers submitted to the Agency must contain all information and supporting documentation required by the Contract, the Agency and the State Comptroller. Payment for vouchers submitted by the CONTRACTOR shall be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The CONTRACTOR shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us or by telephone at 518-474-6019. CONTRACTOR acknowledges that it will not receive payment on any vouchers submitted under this contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

In addition to the Electronic Payment Authorization Form, a Substitute Form W-9, must be on file with the Office of the State Comptroller, Bureau of Accounting Operations. Additional information and procedures for enrollment can be found at http://www.osc.state.ny.us/epay.

Completed W-9 forms should be submitted to the following address:

NYS Office of the State Comptroller
Bureau of Accounting Operations
Warrant & Payment Control Unit
110 State Street, 9th Floor

Albany, NY 12236

III. Terminations

A. This AGREEMENT may be terminated at any time upon mutual written consent of the STATE and the CONTRACTOR.

B. The STATE may terminate the AGREEMENT immediately, upon written notice of termination to the CONTRACTOR, if the CONTRACTOR fails to comply with the terms and conditions of this AGREEMENT and/or with any laws, rules and regulations, policies or procedures affecting this AGREEMENT.

C. The STATE may also terminate this AGREEMENT for any reason in accordance with provisions set forth in Appendix A-1.

D. Written notice of termination, where required, shall be sent by personal messenger service or by certified mail, return receipt requested. The termination shall be effective in accordance with the terms of the notice.

E. Upon receipt of notice of termination, the CONTRACTOR agrees to cancel, prior to the effective date of any prospective termination, as many outstanding obligations as possible, and agrees not to incur any new obligations after receipt of the notice without approval by the STATE.

F. The STATE shall be responsible for payment on claims pursuant to services provided and costs incurred pursuant to terms of the AGREEMENT. In no event shall the STATE be liable for expenses and obligations arising from the program(s) in this AGREEMENT after the termination date.

IV. Indemnification

A. The CONTRACTOR shall be solely responsible and answerable in damages for any and all accidents and/or injuries to persons (including death) or property arising out of or related to the services to be rendered by the CONTRACTOR or its subcontractors pursuant to this AGREEMENT. The CONTRACTOR shall indemnify and hold harmless the STATE and its officers and employees from claims, suits, actions, damages and costs of every nature arising out of the provision of services pursuant to this AGREEMENT.

B. The CONTRACTOR is an independent contractor and may neither hold itself out nor claim to be an officer, employee or subdivision of the STATE nor make any claims, demand or application to or for any right based upon any different status.

V. Property

Any equipment, furniture, supplies or other property purchased pursuant to this AGREEMENT is deemed to be the property of the STATE except as may otherwise be governed by Federal or State laws, rules and regulations, or as stated in Appendix A-2.

VI. Safeguards for Services and Confidentiality

A. Services performed pursuant to this AGREEMENT are secular in nature and shall be performed in a manner that does not discriminate on the basis of religious belief, or promote or discourage adherence to religion in general or particular religious beliefs.

B. Funds provided pursuant to this AGREEMENT shall not be used for any partisan political activity, or for activities that may influence legislation or the election or defeat of any candidate for public office.

C. Information relating to individuals who may receive services pursuant to this AGREEMENT shall be maintained and used only for the purposes intended under the contract and in conformity with applicable provisions of laws and regulations, or specified in Appendix A-1.

APPENDIX A-1
(REV 10/08)

AGENCY SPECIFIC CLAUSES FOR ALL
DEPARTMENT OF HEALTH CONTRACTS

1. If the CONTRACTOR is a charitable organization required to be registered with the New York State Attorney General pursuant to Article 7-A of the New York State Executive Law, the CONTRACTOR shall furnish to the STATE such proof of registration (a copy of Receipt form) at the time of the execution of this AGREEMENT. The annual report form 497 is not required. If the CONTRACTOR is a business corporation or not-for-profit corporation, the CONTRACTOR shall also furnish a copy of its Certificate of Incorporation, as filed with the New York Department of State, to the Department of Health at the time of the execution of this AGREEMENT.

2. The CONTRACTOR certifies that all revenue earned during the budget period as a result of services and related activities performed pursuant to this contract shall be used either to expand those program services funded by this AGREEMENT or to offset expenditures submitted to the STATE for reimbursement.

3. Administrative Rules and Audits:

   a. If this contract is funded in whole or in part from federal funds, the CONTRACTOR shall comply with the following federal grant requirements regarding administration and allowable costs.

      i. For a local or Indian tribal government, use the principles in the common rule, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," and Office of Management and Budget (OMB) Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments".

      ii. For a nonprofit organization other than
         - an institution of higher education,
         - a hospital, or
         - an organization named in OMB Circular A-122, “Cost Principles for Non-profit Organizations”, as not subject to that circular,

         use the principles in OMB Circular A-110, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-profit Organizations," and OMB Circular A-122.

      iii. For an Educational Institution, use the principles in OMB Circular A-110 and OMB Circular A-21, "Cost Principles for Educational Institutions".

      iv. For a hospital, use the principles in OMB Circular A-110, Department of Health and Human Services, 45 CFR 74, Appendix E, "Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals" and, if not covered for audit purposes by OMB Circular A-133, “Audits of States Local Governments and Non-profit Organizations”, then subject to program specific audit requirements following Government Auditing Standards for financial audits.

   b. If this contract is funded entirely from STATE funds, and if there are no specific administration and allowable costs requirements applicable, CONTRACTOR shall adhere to the applicable principles in “a” above.

c. The CONTRACTOR shall comply with the following grant requirements regarding audits.

i. If the contract is funded from federal funds, and the CONTRACTOR spends more than $500,000 in federal funds in their fiscal year, an audit report must be submitted in accordance with OMB Circular A-133.

ii. If this contract is funded from other than federal funds or if the contract is funded from a combination of STATE and federal funds but federal funds are less than $500,000, and if the CONTRACTOR receives $300,000 or more in total annual payments from the STATE, the CONTRACTOR shall submit to the STATE after the end of the CONTRACTOR's fiscal year an audit report. The audit report shall be submitted to the STATE within thirty days after its completion but no later than nine months after the end of the audit period. The audit report shall summarize the business and financial transactions of the CONTRACTOR. The report shall be prepared and certified by an independent accounting firm or other accounting entity, which is demonstrably independent of the administration of the program being audited. Audits performed of the CONTRACTOR's records shall be conducted in accordance with Government Auditing Standards issued by the Comptroller General of the United States covering financial audits. This audit requirement may be met through entity-wide audits, coincident with the CONTRACTOR's fiscal year, as described in OMB Circular A-133. Reports, disclosures, comments and opinions required under these publications should be so noted in the audit report.

d. For audit reports due on or after April 1, 2003, that are not received by the dates due, the following steps shall be taken:

i. If the audit report is one or more days late, voucher payments shall be held until a compliant audit report is received.

ii. If the audit report is 91 or more days late, the STATE shall recover payments for all STATE funded contracts for periods for which compliant audit reports are not received.

iii. If the audit report is 180 days or more late, the STATE shall terminate all active contracts, prohibit renewal of those contracts and prohibit the execution of future contracts until all outstanding compliant audit reports have been submitted.

4. The CONTRACTOR shall accept responsibility for compensating the STATE for any exceptions which are revealed on an audit and sustained after completion of the normal audit procedure.

5. FEDERAL CERTIFICATIONS: This section shall be applicable to this AGREEMENT only if any of the funds made available to the CONTRACTOR under this AGREEMENT are federal funds.

a. LOBBYING CERTIFICATION

1) If the CONTRACTOR is a tax-exempt organization under Section 501 (c)(4) of the Internal Revenue Code, the CONTRACTOR certifies that it will not engage in lobbying activities of any kind regardless of how funded.

2) The CONTRACTOR acknowledges that as a recipient of federal appropriated funds, it is subject to the limitations on the use of such funds to influence certain Federal contracting and financial transactions, as specified in Public Law 101-121, section 319, and codified in section 1352 of Title 31 of the United States Code. In accordance with P.L. 101-121, section 319, 31 U.S.C. 1352 and implementing regulations, the CONTRACTOR affirmatively acknowledges and represents that it is prohibited and shall refrain from using Federal funds received under this AGREEMENT for the purposes of lobbying; provided, however, that such prohibition does not apply in the case of a payment of reasonable compensation made to an officer or employee of the CONTRACTOR to the extent that the payment is for agency and legislative liaison activities not directly related to the awarding of any Federal contract, the making of any Federal grant or loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement. Nor does such prohibition prohibit any reasonable payment to a person in connection with, or any payment of reasonable compensation to an officer or employee of the CONTRACTOR if the payment is for professional or technical services rendered directly in the preparation, submission or negotiation of any bid, proposal, or application for a Federal contract, grant, loan, or cooperative agreement, or an extension, continuation, renewal, amendment, or modification thereof, or for meeting requirements imposed by or pursuant to law as a condition for receiving that Federal contract, grant, loan or cooperative agreement.

3) This section shall be applicable to this AGREEMENT only if federal funds allotted exceed $100,000.

a) The CONTRACTOR certifies, to the best of his or her knowledge and belief, that:

- No federal appropriated funds have been paid or will be paid, by or on behalf of the CONTRACTOR, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal amendment or modification of any federal contract, grant, loan, or cooperative agreement.

- If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the CONTRACTOR shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying" in accordance with its instructions.

b) The CONTRACTOR shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

c) The CONTRACTOR shall disclose specified information on any agreement with lobbyists whom the CONTRACTOR will pay with other Federal appropriated funds by completion and submission to the STATE of the Federal Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions. This form may be obtained by contacting either the Office of Management and Budget Fax Information Line at (202) 395-9068 or the Bureau of Accounts Management at (518) 474-1208. Completed forms should be submitted to the New York State Department of Health, Bureau of Accounts Management, Empire State Plaza, Corning Tower Building, Room 1315, Albany, 12237-0016.

d) The CONTRACTOR shall file quarterly updates on the use of lobbyists if material changes occur, using the same standard disclosure form identified in (c) above to report such updated information.

4) The reporting requirements enumerated in subsection (3) of this paragraph shall not apply to the CONTRACTOR with respect to:

a) Payments of reasonable compensation made to its regularly employed officers or employees;

b) A request for or receipt of a contract (other than a contract referred to in clause (c) below), grant, cooperative agreement, subcontract (other than a subcontract referred to in clause (c) below), or subgrant that does not exceed $100,000; and

c) A request for or receipt of a loan, or a commitment providing for the United States to insure or guarantee a loan, that does not exceed $150,000, including a contract or subcontract to carry out any purpose for which such a loan is made.

b. CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE:

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by federal programs either directly or through State or local governments, by federal grant, contract, loan, or loan guarantee. The law also applies to children's services that are provided in indoor facilities that are constructed, operated, or maintained with such federal funds. The law does not apply to children's services provided in private residences; portions of facilities used for inpatient drug or alcohol treatment; service providers whose sole source of applicable federal funds is Medicare or Medicaid; or facilities where WIC coupons are redeemed. Failure to comply with the provisions of the law may result in the imposition of a monetary penalty of up to $1000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing this AGREEMENT, the CONTRACTOR certifies that it will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act. The CONTRACTOR agrees that it will require that the language of this certification be included in any subawards which contain provisions for children's services and that all subrecipients shall certify accordingly.

c. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

Regulations of the Department of Health and Human Services, located at Part 76 of Title 45 of the Code of Federal Regulations (CFR), implement Executive Orders 12549 and 12689 concerning debarment and suspension of participants in federal programs and activities. Executive Order 12549 provides that, to the extent permitted by law, Executive departments and agencies shall participate in a government-wide system for non-procurement debarment and suspension. Executive Order 12689 extends the debarment and suspension policy to procurement activities of the federal government. A person who is debarred or suspended by a federal agency is excluded from federal financial and non-financial assistance and benefits under federal programs and activities, both directly (primary covered transaction) and indirectly (lower tier covered transactions). Debarment or suspension by one federal agency has government-wide effect.

Pursuant to the above-cited regulations, the New York State Department of Health (as a participant in a primary covered transaction) may not knowingly do business with a person who is debarred, suspended, proposed for debarment, or subject to other government-wide exclusion (including any exclusion from Medicare and State health care program participation on or after August 25, 1995), and the Department of Health must require its prospective contractors, as prospective lower tier participants, to provide the certification in Appendix B to Part 76 of Title 45 CFR, as set forth below:

1) APPENDIX B TO 45 CFR PART 76-CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION-LOWER TIER COVERED TRANSACTIONS

Instructions for Certification

a) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

b) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered and erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

c) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

d) The terms *covered transaction, debarred, suspended, ineligible*, *lower tier covered transaction, participant, person, primary covered transaction, principal, proposal,* and *voluntarily excluded*, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

e) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

f) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,” without modification, in all lower tier covered transactions.

g) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded From Federal Procurement and Non-procurement Programs.

h) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

i) Except for transactions authorized under paragraph "e" of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

2) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions

a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department agency.

b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

6. The STATE, its employees, representatives and designees, shall have the right at any time during normal business hours to inspect the sites where services are performed and observe the services being performed by the CONTRACTOR. The CONTRACTOR shall render all assistance and cooperation to the STATE in making such inspections. The surveyors shall have the responsibility for determining contract compliance as well as the quality of service being rendered.

7. The CONTRACTOR will not discriminate in the terms, conditions and privileges of employment, against any employee, or against any applicant for employment because of race, creed, color, sex, national origin, age, disability, sexual orientation or marital status. The CONTRACTOR has an affirmative duty to take prompt, effective, investigative and remedial action where it has actual or constructive notice of discrimination in the terms, conditions or privileges of employment against (including harassment of) any of its employees by any of its other employees, including managerial personnel, based on any of the factors listed above.

8. The CONTRACTOR shall not discriminate on the basis of race, creed, color, sex, national origin, age, disability, sexual orientation or marital status against any person seeking services for which the CONTRACTOR may receive reimbursement or payment under this AGREEMENT.

9. The CONTRACTOR shall comply with all applicable federal, State and local civil rights and human rights laws with reference to equal employment opportunities and the provision of services.

10. The STATE may cancel this AGREEMENT at any time by giving the CONTRACTOR not less than thirty (30) days written notice that on or after a date therein specified, this AGREEMENT shall be deemed terminated and cancelled.

11. Where the STATE does not provide notice to the NOT-FOR-PROFIT CONTRACTOR of its intent to not renew this contract by the date by which such notice is required by Section 179-t(1) of the State Finance Law, then this contract shall be deemed continued until the date that the agency provides the notice required by Section 179-t, and the expenses incurred during such extension shall be reimbursable under the terms of this contract.

12. Other Modifications

    a. Modifications of this AGREEMENT as specified below may be made within an existing PERIOD by mutual written agreement of both parties:

        - Appendix B - Budget line interchanges; Any proposed modification to the contract which results in a change of greater than 10 percent to any budget category, must be submitted to OSC for approval;
        - Appendix C - Section II, Progress and Final Reports;
        - Appendix D - Program Workplan will require OSC approval.

    b. To make any other modification of this AGREEMENT within an existing PERIOD, the parties shall revise or complete the appropriate appendix form(s), and a

Modification Agreement (Appendix X is the blank form to be used), which shall be effective only upon approval by the Office of the State Comptroller.

13. Unless the CONTRACTOR is a political sub-division of New York State, the CONTRACTOR shall provide proof, completed by the CONTRACTOR's insurance carrier and/or the Workers' Compensation Board, of coverage for

    Workers' Compensation, for which one of the following is incorporated into this contract as **Appendix E-1**:

    - **CE-200** - Certificate of Attestation For New York Entities With No Employees And Certain Out Of State Entities, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage is Not Required; OR

    - **C-105.2** -- Certificate of Workers' Compensation Insurance. PLEASE NOTE: The State Insurance Fund provides its own version of this form, the **U-26.3**; OR

    - **SI-12** -- Certificate of Workers' Compensation Self-Insurance, OR **GSI-105.2** -- Certificate of Participation in Workers' Compensation Group Self-Insurance

    Disability Benefits coverage, for which one of the following is incorporated into this contract as **Appendix E-2**:

    - **CE-200** - Certificate of Attestation For New York Entities With No Employees And Certain Out Of State Entities, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage is Not Required; OR

    - **DB-120.1** -- Certificate of Disability Benefits Insurance OR

    - **DB-155** -- Certificate of Disability Benefits Self-Insurance

14. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208). Contractor shall be liable for the costs associated with such breach if caused by Contractor's negligent or willful acts or omissions, or the negligent or willful acts or omissions of Contractor's agents, officers, employees or subcontractors.

15. All products supplied pursuant to this agreement shall meet local, state and federal regulations, guidelines and action levels for lead as they exist at the time of the State's acceptance of this contract.

16. Additional clauses as may be required under this AGREEMENT are annexed hereto as appendices and are made a part hereof if so indicated on the face page of this AGREEMENT.

APPENDIX B

BUDGET
(sample format)

Organization Name: ____

Budget Period: Commencing on: ____________________ Ending on: ____________

Personal Service

Number	Title	Annual Salary	% Time Devoted to This Project	Total Amount Budgeted From NYS

Total Salary ____________
Fringe Benefits (specify rate) ____________
TOTAL PERSONAL SERVICE: ____________

Other Than Personal Service — Amount

Category
- Supplies
- Travel
- Telephone
- Postage
- Photocopy
- Other Contractual Services (specify)
- Equipment (Defray Cost of Defibrillator) ____________

TOTAL OTHER THAN PERSONAL SERVICE ____________

GRAND TOTAL ____________

Federal funds are being used to support this contract. Code of Federal Domestic Assistance (CFDA) numbers for these funds are: _*(required)*_

APPENDIX C

PAYMENT AND REPORTING SCHEDULE

I. Payment and Reporting Terms and Conditions

A. The STATE may, at its discretion, make an advance payment to the CONTRACTOR, during the initial or any subsequent PERIOD, in an amount to be determined by the STATE but not to exceed ______ percent of the maximum amount indicated in the budget as set forth in the most recently approved Appendix B. If this payment is to be made, it will be due thirty calendar days, excluding legal holidays, after the later of either:

- ❶ the first day of the contract term specified in the Initial Contract Period identified on the face page of the AGREEMENT or if renewed, in the PERIOD identified in the Appendix X, OR

- ❶ if this contract is wholly or partially supported by Federal funds, availability of the federal funds;

provided, however, that a STATE has not determined otherwise in a written notification to the CONTRACTOR suspending a Written Directive associated with this AGREEMENT, and that a proper voucher for such advance has been received in the STATE's designated payment office. If no advance payment is to be made, the initial payment under this AGREEMENT shall be due thirty calendar days, excluding legal holidays, after the later of either:

- ❶ the end of the first *<monthly or quarterly>* period of this AGREEMENT; or

- ❶ if this contract is wholly or partially supported by federal funds, availability of the federal funds:

provided, however, that the proper voucher for this payment has been received in the STATE's designated payment office.

B. No payment under this AGREEMENT, other than advances as authorized herein, will be made by the STATE to the CONTRACTOR unless proof of performance of required services or accomplishments is provided. If the CONTRACTOR fails to perform the services required under this AGREEMENT the STATE shall, in addition to any remedies available by law or equity, recoup payments made but not earned, by set-off against any other public funds owed to CONTRACTOR.

C. Any optional advance payment(s) shall be applied by the STATE to future payments due to the CONTRACTOR for services provided during initial or subsequent PERIODS. Should funds for subsequent PERIODS not be appropriated or budgeted by the STATE for the purpose herein specified, the STATE shall, in accordance with Section 41 of the State Finance Law, have no liability under this AGREEMENT to the CONTRACTOR, and this AGREEMENT shall be considered terminated and cancelled.

D. The CONTRACTOR will be entitled to receive payments for work, projects, and services rendered as detailed and described in the program workplan, Appendix D. All payments shall be in conformance with the rules and regulations of the Office of the State Comptroller. The CONTRACTOR shall provide complete and accurate billing vouchers to the Agency's designated payment office in order to receive payment. Billing vouchers submitted to the Agency must contain all information and supporting documentation required by the Contract, the Agency and the State Comptroller. Payment for vouchers submitted by the CONTRACTOR shall be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The CONTRACTOR shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us or by telephone at 518-474-6019. The CONTRACTOR acknowledges that it will not receive payment on any vouchers submitted under this contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

In addition to the Electronic Payment Authorization Form, a Substitute Form W-9, must be on file with the Office of the State Comptroller, Bureau of Accounting Operations. Additional information and procedures for enrollment can be found at http://www.osc.state.ny.us/epay.

Completed W-9 forms should be submitted to the following address:

NYS Office of the State Comptroller
Bureau of Accounting Operations
Warrant & Payment Control Unit
110 State Street, 9th Floor
Albany, NY 12236

E. The CONTRACTOR will provide the STATE with the reports of progress or other specific work products pursuant to this AGREEMENT as described in this Appendix below. In addition, a final report must be submitted by the CONTRACTOR no later than ____ days after the end of this AGREEMENT. All required reports or other work products developed under this AGREEMENT must be completed as provided by the agreed upon work schedule in a manner satisfactory and acceptable to the STATE in order for the CONTRACTOR to be eligible for payment.

F. The CONTRACTOR shall submit to the STATE *<monthly or quarterly>* voucher claims and reports of expenditures on such forms and in such detail as the STATE shall require. The CONTRACTOR shall submit vouchers to the State's designated payment office located in the _________________________________.

All vouchers submitted by the CONTRACTOR pursuant to this AGREEMENT shall be submitted to the STATE no later than ___________________ days after the end date of the period for which reimbursement is being claimed. In no event shall the amount received by the CONTRACTOR exceed the budget amount approved by the

STATE, and, if actual expenditures by the CONTRACTOR are less than such sum, the amount payable by the STATE to the CONTRACTOR shall not exceed the amount of actual expenditures. All contract advances in excess of actual expenditures will be recouped by the STATE prior to the end of the applicable budget period.

G. If the CONTRACTOR is eligible for an annual cost of living adjustment (COLA), enacted in New York State Law, that is associated with this grant AGREEMENT, payment of such COLA, or a portion thereof, may be applied toward payment of amounts payable under Appendix B of this AGREEMENT or may be made separate from payments under this AGREEMENT, at the discretion of the STATE.

Before payment of a COLA can be made, the STATE shall notify the CONTRACTOR, in writing, of eligibility for any COLA. If payment is to be made separate from payments under this AGREEMENT, the CONTRACTOR shall be required to submit a written certification attesting that all COLA funding will be used to promote the recruitment and retention of staff or respond to other critical non-personal service costs during the State fiscal year for which the cost of living adjustment was allocated, or provide any other such certification as may be required in the enacted legislation authorizing the COLA.

II. Progress and Final Reports

Insert Reporting Requirements in this section. Provide detailed requirements for all required reports including type of report, information required, formatting, and due dates. Please note that at a minimum, expenditure reports (to support vouchers) and a final report are required. Other commonly used reports include:

<u>Narrative/Qualitative</u>: This report properly determines how work has progressed toward attaining the goals enumerated in the Program Workplan (Appendix D).

<u>Statistical/Qualitative Report</u>: This report analyzes the quantitative aspects of the program plan - for example: meals served, clients transported, training sessions conducted, etc.

APPENDIX D

PROGRAM WORKPLAN
(sample format)

A well written, concise workplan is required to ensure that the Department and the contractor are both clear about what the expectations under the contract are. When a contractor is selected through an RFP or receives continuing funding based on an application, the proposal submitted by the contractor may serve as the contract's work plan if the format is designed appropriately. The following are suggested elements of an RFP or application designed to ensure that the minimum necessary information is obtained. Program managers may require additional information if it is deemed necessary.

I. CORPORATE INFORMATION

Include the full corporate or business name of the organization as well as the address, federal employer identification number and the name and telephone number(s) of the person(s) responsible for the plan's development. An indication as to whether the contract is a not-for-profit or governmental organization should also be included. All not-for-profit organizations must include their New York State charity registration number; if the organization is exempt AN EXPLANATION OF THE EXEMPTION MUST BE ATTACHED.

II. SUMMARY STATEMENT

This section should include a narrative summary describing the project which will be funded by the contract. This overview should be concise and to the point. Further details can be included in the section which addresses specific deliverables.

III. PROGRAM GOALS

This section should include a listing, in an abbreviated format (i.e., bullets), of the goals to be accomplished under the contract. Project goals should be as quantifiable as possible, thereby providing a useful measure with which to judge the contractor's performance.

IV. SPECIFIC DELIVERABLES

A listing of specific services or work projects should be included. Deliverables should be broken down into discrete items which will be performed or delivered as a unit (i.e., a report, number of clients served, etc.) Whenever possible a specific date should be associated with each deliverable, thus making each expected completion date clear to both parties.

Language contained in Appendix C of the contract states that the contractor is not eligible for payment "unless proof of performance of required services or accomplishments is provided." The workplan as a whole should be structured around this concept to ensure that the Department does not pay for services that have not been rendered.

Appendix G

NOTICES

All notices permitted or required hereunder shall be in writing and shall be transmitted either:

(a) via certified or registered United States mail, return receipt requested;
(b) by facsimile transmission;
(c) by personal delivery;
(d) by expedited delivery service; or
(e) by e-mail.

Such notices shall be addressed as follows or to such different addresses as the parties may from time to time designate:

State of New York Department of Health
Name:
Title:
Address:
Telephone Number:
Facsimile Number:
E-Mail Address:

[*Insert Contractor Name*]
Name:
Title:
Address:
Telephone Number:
Facsimile Number:
E-Mail Address:

Any such notice shall be deemed to have been given either at the time of personal delivery or, in the case of expedited delivery service or certified or registered United States mail, as of the date of first attempted delivery at the address and in the manner provided herein, or in the case of facsimile transmission or email, upon receipt.

The parties may, from time to time, specify any new or different address in the United States as their address for purpose of receiving notice under this AGREEMENT by giving fifteen (15) days written notice to the other party sent in accordance herewith. The parties agree to mutually designate individuals as their respective representative for the purposes of receiving notices under this AGREEMENT. Additional individuals may be designated in writing by the parties for purposes of implementation and administration/billing, resolving issues and problems, and/or for dispute resolution.

Agency Code 12000
APPENDIX X

Contract Number:__________ Contractor:________________________

Amendment Number X-______

This is an AGREEMENT between THE STATE OF NEW YORK, acting by and through NYS Department of Health, having its principal office at Albany, New York, (hereinafter referred to as the STATE), and ___________________________________ (hereinafter referred to as the CONTRACTOR), for amendment of this contract.

This amendment makes the following changes to the contract (check all that apply):

______ Modifies the contract period at no additional cost

______ Modifies the contract period at additional cost

______ Modifies the budget or payment terms

______ Modifies the work plan or deliverables

______ Replaces appendix(es) _________ with the attached appendix(es)_________

______ Adds the attached appendix(es) ________

______ Other: (describe) ________________________________

This amendment *is*__ *is not*__ a contract renewal as allowed for in the existing contract.

All other provisions of said AGREEMENT shall remain in full force and effect.

Prior to this amendment, the contract value and period were:

$_____________________ From ___/_____/___ to ____/____/____.
(Value before amendment) (Initial start date)

This amendment provides the following modification (complete only items being modified):

$_____________________ From ___/_____/___ to ____/____/____.

This will result in new contract terms of:

$ _____________________ From ___/_____/___ to ____/____/____.
(All years thus far combined) (Initial start date) (Amendment end date)

Signature Page for:

Contract Number:__________ Contractor:_________________________

Amendment Number: X-_____

IN WITNESS WHEREOF, the parties hereto have executed this AGREEMENT as of the dates appearing under their signatures.

CONTRACTOR SIGNATURE:

By:________________________________ Date: _________________________
(signature)

Printed Name:_______________________________________

Title:____

STATE OF NEW YORK)
) SS:
County of ____________)

On the ___ day of ___________ in the year ______ before me, the undersigned, personally appeared _________________________________, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is(are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their/ capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

____
(Signature and office of the individual taking acknowledgement)

STATE AGENCY SIGNATURE

"In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract."

By:________________________________ Date:______________________________
(signature)

Printed Name:_______________________________________

Title:____

ATTORNEY GENERAL'S SIGNATURE

By:________________________________ Date:______________________________

STATE COMPTROLLER'S SIGNATURE

By:________________________________ Date:______________________________

Attachment 23

Letter of Interest

Insert on Applicant Organization on Letterhead

Dora Swan
Bureau of Maternal and Child Health
New York State Department of Health
Corning Tower Building, Room 859
Empire State Plaza
Albany, NY 12237

Re: Successfully Transitioning Youth to Adolescence

Dear Ms. Swan;

This is a letter of interest to request that our organization automatically receive written responses to questions and answers, and any updates or modifications to this RFA.

We understand that this letter needs to be received by the NYSDOH Bureau of Maternal and Child Health by 5:00 p.m. on July 25, 2012 in order to automatically receive written responses to questions and answers, and any updates or modifications to this RFA.

Sincerely,

____
Name of Agency Representative

____
Title

____
Address

____
Telephone/Fax

____
Email

Attachment 24

REGISTRATION FOR APPLICANT CONFERENCE CALL

New York State Department of Health
Bureau of Maternal and Child Health

Successfully Transitioning Youth to Adolescence Initiative

I/we intend to participate in the applicants' conference call for the Request for Applications (RFA) for STYA on July 31, 2012.

Agency/Individual applicant(s): ______________________________

Address (es): ______________________________

____

Title(s): ______________________________

Telephone Number: ______________________________

Fax Number: ______________________________

E-mail address: ______________________________

Please submit the **Registration for Applicants** by July 27, 2012 to:

AEGP@health.state.ny.us

Note: E-mail responses must contain all of the above information.

Attachment 25c

Vendor Responsibility Attestation

To comply with the Vendor Responsibility Requirements outlined in Section IV, Administrative Requirements, H. Vendor Responsibility Questionnaire, I hereby certify:

Choose one:

☐ An on-line Vender Responsibility Questionnaire has been updated or created at OSC's website: https://portal.osc.state.ny.us within the last six months.

☐ A hard copy Vendor Responsibility Questionnaire is included with this application and is dated within the last six months.

☐ A Vendor Responsibility Questionnaire is not required due to an exempt status. Exemptions include governmental entities, public authorities, public colleges and universities, public benefit corporations, and Indian Nations.

Signature of Organization Official: ______________________________

Print/type Name:______________________________

Title:______________________________

Organization:______________________________

Date Signed:______________________________